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ABSTRACT

This study reports on eight projects funded by the Emergency School Aid Act (ESAA) during 1977-1978 in seven districts in New Jersey and New York. The seven districts are described in terms of: (1) their demographic characteristics, such as racial/ethnic composition of the public schools, minority isolation, percentage of educationally or economically disadvantaged students, and metropolitan status; (2) their desegregation experiences; and (3) their experience with the ESAA Basic and Pilot programs prior to the 1976 grant competition. Also covered in this report are details regarding the preparation of applications for ESAA funds, eligibility requirements and application review. Finally, the content and implementation of the Basic and Pilot projects in the seven districts are described. Focused on are district staffs' perceptions of the relationship of the projects to school desegregation, and program administrative procedures. (EB)

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THE ESAA BASIC AND PILOT PROGRAMS IN REGION II:

VOLUME II--CASE STUDIES

Lynette Ferrara and Sheri Lanoff
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U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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EXECUTIVE SUMMARY

This study reports on the implementation and impact of eight projects funded by the Emergency School Aid Act (ESAA) Basic and Pilot programs in seven districts in DHEW Region II (New Jersey and New York). The report covers the FY 77 grant competition and the implementation of the FY 76 funded projects. This summary presents the findings of the study. These findings should be interpreted cautiously as they are based on a study of only one region, Region II. The Region II experience may not be typical of ESAA program operations in the nine other DHEW regions and may not be representative of the outcomes of the centrally administered ESAA program now in operation.

Application Preparation (Chapter 3)

The Act and regulations placed few constraints on the content and dollar value of the proposed project. In the Region II case studies, proposed projects reflected local perceptions of general educational, rather than desegregation related, needs.

In the case study districts, information dissemination and technical assistance provided by ESAA program officers have little impact on the project components and activities selected by the case study districts for inclusion in the proposed ESAA projects and on dollar value of the proposed project.

Experienced application developers in Region II believed that information dissemination and technical assistance were essential to successful packaging of the application. Key words and phrases that could be used in the applications to justify the need for an ESAA project could be learned through interaction with ESAA program officers. Less experienced application developers could not effectively use technical assistance to enhance the chances for success of their application.

The Act and regulations had little impact on the process used to prepare the project application in the case study districts. Once a successful application is developed, succeeding applications proposed either the current project or a modified version of the existing one.

Application Review (Chapter 4)

ESAA definitions of eligible desegregation plans are sufficiently broad to allow most districts in Region II to qualify. The Office for Civil Rights (OCR) eligibility review resulted in changes in case study district practices or policies to remedy past discrimination. However, this eligibility review was often unreliable.

In Region II, the quality score received was a function of instructions given to the review panel.

Case study application developers saw the resubmit cycle as "repackaging." However, applications below minimum quality scores in the first cycle often resulted in changes to the number of schools or pupils served.

Region II ESAA program officers have only one direct method for influencing the funded projects. ESAA program officers in Region II used the administrative budget review to eliminate unauthorized project components, budget items that were excessive, or to reduce the number of schools or participants served at individual schools.

In Region II, the eligibility review process and the grant preparation process frequently delayed the grant award by several weeks or by months.

Project Implementation (Chapter 5)

The ESAA program does not collect the necessary information to monitor the projects accurately in Region II.

Advisory Committees do not play a significant role in project implementation in case study districts.

The one-year grant period and notification of the grant award as late as September 30th of the year in which the grant is to be implemented caused problems for the Region II case study districts in project implementation.

The two Basic projects in the case study that attempted to reduce minority isolation through implementation of magnet school projects did not achieve the number of transfer students projected in the project application.

Regulations requiring coordination with other Federally funded projects do not establish guidelines to ensure coordination.

Program officer monitoring has little impact on the conduct of projects in Region II.

Program requirements for Quarterly Progress and other reports to be filed by the district are not specific enough to be of value either to the district or program monitors in Region II. OCR does not monitor projects in Region II.

Neither the Act nor the regulations define the criteria that should be used to measure project effectiveness.

The evaluation reports filed in case study districts provided insufficient information on which to judge project effectiveness.

CHAPTER 1: INTRODUCTION

Background

The Emergency School Aid Act (ESAA)[1] provides one year grants to school districts with no limit to the number of years a district may apply for a grant. The Act has three purposes:

1. to help meet special needs resulting from the implementation of a desegregation plan;

2. to encourage voluntary actions intended to reduce, eliminate or prevent minority group isolation; and

3. to aid children in overcoming the educational disadvantages of minority group isolation.

There are seven categories of ESAA grants. Seventy-nine percent of ESAA funds are authorized for Basic and Pilot grants to school districts.[2] These funds are apportioned to the 50 states and the District of Columbia based upon the fraction of the nation's minority children in each state. Applicants compete for funds within the same state and program category. Until 1977, Offices of Equal Educational Opportunity Programs (EEOP) in the 10 regional offices of the Department of Health, Education and Welfare (DHEW) were responsible for administering the grant competition and monitoring the implementation of funded projects.

This is the second volume of Applied Urbanetics' (AUI) two volume study of the implementation and impact of ESAA Basic and Pilot projects in DHEW, Region II (New Jersey and New York). The study was jointly sponsored by the Planning and Evaluation Unit of the Regional Director, now the Assessment Unit of the Principal Regional Official, DHEW and the Office of Planning, Budgeting and Evaluation in the United States Office of Education (USOE).

This is not the first study of ESAA Basic and Pilot programs. System Development Corporation (SDC) conducted a three year study of the educational effectiveness of ESAA Basic and Pilot funded projects.[3] As part of the study, an in-depth analysis of 16 selected Basic and Pilot

project schools was performed to provide a detailed, comprehensive description of each project's operation.[4] In another project, Applied Urbanetics is currently conducting an assessment of ESAA Program Operations to determine whether ESAA program operations at the Federal level are effectively enabling the ESAA program to meet the current needs of desegregating school districts.[5] This report differs from these reports in its scope, purpose, and methodology.

Scope and Purpose

This report presents a synthesis of case studies of eight ESAA projects in seven school districts in DHEW Region II funded during the 1976-1977 (FY 76)[6] school year and each district's experience in the competition for 1977-1978 (FY 77) grants. The case studies were undertaken to provide ESAA program managers with the following:

- a description of how the Act and regulations and ESAA administrative procedures affect the characteristics of the project proposed in the grant application, the implementation of the grant, and the effectiveness of the project in meeting the objectives of the Act; and
- a description of how districts develop ESAA Basic or Pilot applications and implement projects.

When this study was contracted, its primary audience was to be the Commissioner of Region II, USOE, his staff, and Federal program officers in the ESAA Regional Office. In the summer of 1977, a reorganization of DHEW was announced that would transfer administration of ESAA from the Regional Offices to Central USOE in Washington. The audience for the study, therefore, was expanded to include Central DHEW and USOE officials who must review the effectiveness of ESAA administration in light of centralization.

Methodology

The case study approach was chosen to provide an in-depth investigation of how ESAA Basic and Pilot programs affect districts in Region II.

The Eight Projects

The eight projects in seven districts were chosen to provide variation in district characteristics believed to be important to illustrate the outcomes of ESAA program operations. The first criterion for the selection of case study projects was the desegregation experience of the district including the type of desegregation plan and the year the plan was implemented. Projects with required and non-required plans were chosen. The age of the plan and its various features were also considerations for inclusion. The second criterion was that the districts be located in center city and suburban areas. The third criterion was the number of years the district received a grant. A fourth criterion was that Basic and Pilot grants in both states be included. Finally, the case study districts included a broad range of the activities authorized by ESAA legislation and regulation. The projects were not chosen to be representative of the Basic and Pilot projects funded in Region II during the 1976-77 school year.

Site Visits

Two site visits were made to each case study district by teams of two or three staff members. The first one-day site visit was made in the late fall, a time when the project was expected to be fully implemented. During this site visit, formal interviews were held with the district superintendent, the writer of the ESAA application, the person responsible for in-service training of professional staff, and a community member, who was usually the chairperson of the ESAA Advisory Committee. The topics of the first interviews were the preparation of the FY 76 application, the awards process, project implementation problems, the nature of desegregation related needs in the district, and impressions of Federal administration of the ESAA program.

The second two-day site visit was made in the late spring, as the districts were completing the FY 1976-1977 project. This site visit also occurred after the districts had submitted applications for FY 1977-1978 funding. Again, during this visit formal interviews were held with the respondents of the first interviews to obtain further information on the initial topics, and to learn district staffs' impressions of the effectivness of their project in meeting local project objectives and national program goals. These respondents also were asked

to complete a mail-in questionnaire which supplied additional information about projects supported by Federal and state funds and about other district needs. The site visit staff also visited at least two ESAA project schools in each district and held informal conversations with ESAA-funded staff to determine their impressions of the local needs arising from desegregation or minority isolation and the ability and effectiveness of the project in meeting those needs.

Other Data Sources

Two other data sources were: (1) ESAA program records; and (2) interviews with Federal program officers administering the Region II Basic and Pilot Programs. The term "ESAA program records" is used to denote the documents accumulated by the Regional EEOP staff while administering the ESAA program. The documents included each district's application, the forms used to record and calculate scores assigned during the application review process, approved project budgets, progress reports filed by funded projects, site visit reports, and other letters and memos compiled or collected by ESAA program officers in the course of administering the Basic and Pilot programs. These records provided data describing the racial/ethnic composition of pupils and staff in 1976 and 1977 and the outcome of the application review process.

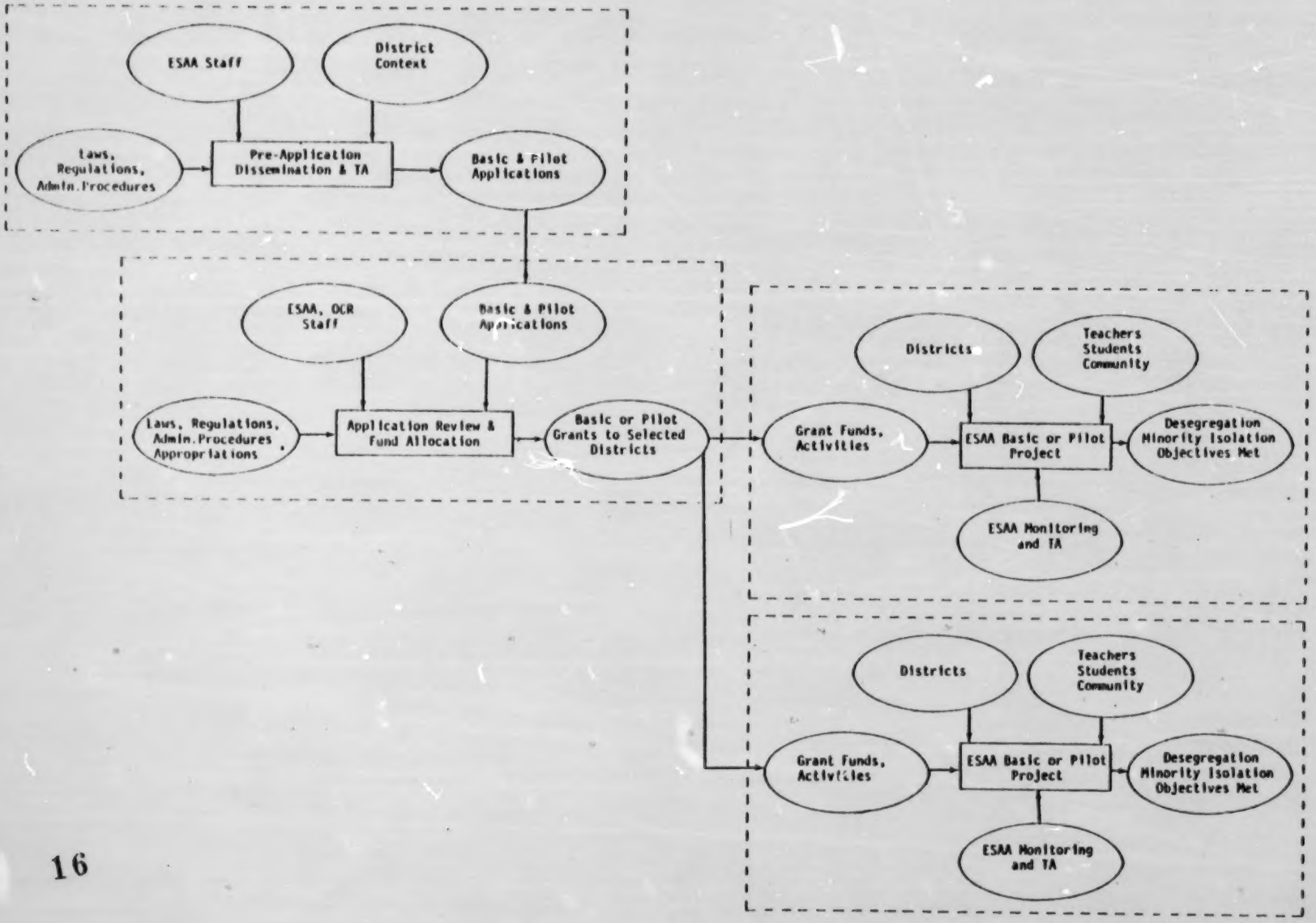
The Washington office interviews included the senior ESAA and OCR program officers. The interviews with Regional office staff included all EEOP, GPM, and OCR staff and nine of the persons who served as non-Federal review panel members in the FY 77 application review process. These interviews were the major source of information describing the procedures used to administer the ESAA Basic and Pilot programs.

Theoretical Framework

The framework for analysis of the case study information is presented in Figure 1.1. It is also a model of the ESAA program. The case studies were designed to provide information on three factors: district characteristics, ESAA administrative procedures, and project implementation and effectiveness in meeting national programs goals and local project objectives.

FIGURE 1.1

MODEL OF ESAA PROGRAM OPERATIONS



Report Structure

This report is organized into five chapters, reflecting the theoretical framework of the analysis. The next chapter presents district characteristics believed to affect the ESAA process in each district. Chapters 3 and 4 discuss the FY 77 application preparation and review processes. Chapter 5 discusses the implementation of projects funded in FY 76. The study findings and recommendations for changes to the Act, regulations and administrative procedures resulting from these findings have been published in a separate report.*

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* Executive Summary, Volume II, Basic and Pilot Projects in Region II: Case Studies. Applied Urbanetics, Inc., January, 1978.

FOOTNOTES

1 P.L. 92-318, Sec. 702(b) as amended in P.L. 93-380, Sec. 641.

2 The remaining funds are authorized for grants to non-profit organizations supporting desegregation plans in school districts and for grants for bilingual/bicultural, special projects, educational TV, and national evaluation projects.

3 The First Year of Emergency School Aid Act (ESAA) Implementation. System Development Corporation, TM-5236/008/00, September, 1975.

The Second Year of Emergency School Aid Act (ESAA) Implementation. System Development Corporation, TM 5236/009/00, July, 1976.

The Third Year of Emergency School Aid Act (ESAA) Implementation. System Development Corporation, TM 5236/014/00. March, 1977.

4 An In-Depth Study of Emergency School Aid Act (ESAA) Schools: 1974-1975. System Development Corporation, TM 5236/010/00. July, 1976.

5 An Assessment of Emergency School Aid Act Program Operations: Report of Preliminary Findings, Applied Urbanetics, DHEW/OE 300-77-0371. January, 1978.

6 ESAA projects are funded out of appropriations prior to the year in which they are implemented; that is, projects implemented in the 1976-1977 school year are using funds from FY 76 appropriations. For this report, a project identified as funded in FY 75, for example, would mean that it was funded from a fiscal year 1975 appropriation and implemented in the 1975-1976 school year.

CHAPTER 2: THE CASE STUDY DISTRICTS

The characteristics of the districts which apply for and receive a Basic or Pilot grant may influence the content and dollar value of the Basic or Pilot project proposed and funded, and the implementation of the project once a Basic or Pilot grant is received. The seven districts included in this report were selected to provide examples of Basic and Pilot projects in districts with varying characteristics. The characteristics are:

- district demographic characteristics, including the racial/ethnic composition of the public school (pupils and staff), minority isolation, the percentage of the enrollment that is educationally or economically disadvantaged, and the metropolitan status;
- district desegregation experiences, including the type of plan, the date of the plan, the features of the plan, and community response to desegregation; and
- district staff's experience with the ESAA Basic and Pilot programs prior to the FY 76 grant competition.

The next section of this chapter provides an overview of the characteristics of the seven districts. The remaining sections provide a more detailed description of district characteristics to familiarize the reader with the case study districts. Succeeding chapters will compare the impact of these characteristics and of the Act, Regulations, and administrative procedures in determing the outcomes of ESAA program operations for the Basic and Pilot grant programs in Region II.

Summary of Characteristics of Case Study Districts

This report presents case studies of eight Basic and Pilot projects in seven districts. The districts were referenced by fictitious names to preserve their anonymity.[1] They are:

Burnham Park - a small suburban New Jersey district which, since 1963, has been implementing a desegregation plan ordered by the State Commissioner of Education. In 1976-1977, the school enrollment of 3,934 was 62.5 percent minority. A medium percentage of the children enrolled in the public schools are economically or educationally disadvantaged. The district has received funding for five years in both Basic and Pilot grant categories.

Sheffield - a New Jersey center city district with a public school enrollment of 75,307; 89 percent of the students were minority in 1976-77. Sheffield has high concentrations of economically and educationally disadvantaged students. The major feature of the Sheffield desegregation plan is voluntary open enrollment. The high proportion of minority enrollment in the district means that 85 percent of the students are enrolled in schools that are over 90 percent minority. Sheffield has received Pilot project funding since 1974-75. Funding for a Basic project was received only for the 1974-75 school year.

Bentham - a New Jersey center city district. The 1976-77 school year was the first year of the implementation of a desegregation plan ordered by the State Commissioner of Education. In that year, Bentham used its first ESAA Basic grant to implement the major portion of the district's desegregation plan which relied on optional open enrollment in three magnet schools. The total school enrollment was 36,758 in 1976-77; 73 percent of the enrollment was minority. Spanish-surnamed pupils composed 22 percent of the minority enrollment. In Bentham, a high proportion of the children enrolled in the public schools were economically or educationally disadvantaged.

CSD A - a community school district in New York. CSD A is desegregating under a U.S. District Court order. In 1974, the court found that CSD A had a segregated junior high school and ordered development of a plan that required the mandatory reassignment of pupils in order that the enrollment of five junior highs, one intermediate, and two elementary schools would reflect the district-wide average of minority pupils. The formerly segregated junior high school became a magnet school. CSD A had a total enrollment of 24,694 in 1976-77; 30 percent of these students were minority. The district has a high concentration of educationally and economically disadvantaged pupils. CSD A has received ESAA Basic funds in four of the five years in which this aid has been available.

CSD B - another community school district in New York City. In 1976-77, the total enrollment in CSD B was 21,508, 99 percent of these students were minority. Sixty-five percent of the pupils were Spanish-surnamed. A high proportion of CSD B students are economically or educationally disadvantaged. CSD B received both Basic and Pilot awards in FY 75 and FY 76. The district did not apply in FY 77 because EEOP review had determined that no district schools were affected by any desegregation plan.

Harbortown - a New York suburban district which has received an ESAA Basic grant in all years that ESAA aid has been available. Forty-eight percent of the students in the Harbortown public schools in 1976-77 were minority. A medium percentage of the public school children are economically disadvantaged; the concentration of educationally disadvantaged children is low. The desegregation plan adopted in 1963 has resulted in racial balance in all schools.

Maxwell - a center city district with a total enrollment of 42,901. Fifty percent of the students in the Maxwell public schools were minority in 1976-77. Maxwell had applied for ESAA funds in previous years, but did not meet eligibility standards until FY 76. The Maxwell desegregation plan is voluntary, based on open enrollment. The district has medium concentrations of economically disadvantaged children and high concentrations of children who are educationally disadvantaged.

District Demography

The case study districts were selected to provide examples of variation in four characteristics believed likely to influence the content and the dollar value of Basic and Pilot projects as proposed and as funded. The first three characteristics, believed to directly influence these outcomes, are: (1) the racial/ethnic composition of pupils and staff; (2) the isolation of minority pupils and staff; and (3) the concentration of economically and educationally disadvantaged children. The fourth characteristic, metropolitan status, was believed to be an important determinant of the other demographic characteristics.

Racial/Ethnic Composition of Pupils and Staff

The case study districts were selected to provide examples of varying concentrations of minority children and mixtures of racial/ethnic groups in pupils and staff. The racial/ethnic composition of the pupils and staff of the case study districts and of all districts which received Basic or Pilot program funds in 1976-77 is displayed in Figure 2.1.

In all the districts, the proportion of the enrollment that was minority was 30 percent or more. Two of the five case study districts which received Basic grants had a majority white enrollment. In CSD B and Sheffield, the racial/ethnic majority was composed of Black and Spanish-surnamed children.

Figure 2.1 also displays the racial/ethnic composition of the staff. In all case study districts the majority of the staff is white. Further, in each district the proportion of the staff that is white is significantly larger than the proportion of white students. The largest concentrations of minority staff were found in districts with the highest concentrations of minority pupils.

Racial Isolation

The magnitude of racial isolation of pupils and staff and the net reduction of minority isolation as the result of the implementation of a desegregation plan were expected to influence the district staff's perceptions of needs related to ESAA program objectives and the dollar value of the ESAA grant requested and received. This section examines racial isolation first at the time of the funded project and second as it has changed over time.

Racial Isolation of Pupils and Staff

Racial isolation has traditionally been measured in terms of racial balance, the extent to which the district's schools reflect the racial/ethnic composition of the district's pupils and staff. Isolation of minority pupils exists when the schools attended by minority children have a larger concentration of minority children than the district as a whole. Similarly, minority staff are isolated when the schools have a higher concentration of minority staff than the district as a whole. Figure 2.2 shows the racial isolation index for pupils in each

Figure 2.1

STUDENT ENROLLMENT AND STAFF BY RACIAL/ETHNIC COMPOSITION BY PERCENT:[a]
CASE STUDY DISTRICTS 1976-1977

	White		Black		Spanish-surnamed		Other Minority	
BASIC PROJECTS	Students	Staff	Students	Staff	Students	Staff	Students	Staff
Bentham, NJ	27.3	82.0	47.7	15.5	21.9	2.0	3.1	0.5
CSD A, NY	67.0	97.0	18.0	2.0	14.0	0.7	0.4	0.0
CSD B, NY	1.0	70.3	33.7	14.1	65.3	15.6	0.0	0.0
Harbortown, NY	51.6	83.6	44.2	15.4	4.1	0.6	0.1	0.4
Maxwell, NY	49.4	84.2	42.1	13.9	7.8	1.7	0.6	0.2
PILOT PROJECTS								
Burnham Park, NJ	37.5	65.2	56.6	32.2	4.7	2.6	1.1	0.0
Sheffield, NJ	11.0	52.1	71.9	43.5	13.8	3.6	3.2	0.8
Maxwell, NY	49.4	84.2	42.1	13.9	7.8	1.7	0.6	0.2

See Appendix for sources and definitions.

[a] Totals may not sum to 100 due to rounding error.

Figure 2.2

RACIAL ISOLATION INDEX OF STUDENTS: CASE STUDY DISTRICTS

	Racial Isolation Index of Students:[a]	
BASIC PROJECTS	Index	Level of Index[b]
Bentham, NJ	41.7	High
CSD A, NY	26.1	Medium
CSD B, NY	0.7	Low
Harbortown, NY	2.6	Low
Maxwell, NY	34.9	High
PILOT PROJECTS		
Burnham Park, NJ	1.1	Low
Sheffield, NJ	42.8	High
Maxwell, NY	34.9	High

[a] The Racial Isolation Index measures the extent to which the proportion of white children in a minority child's school differs from the average number of white children in the district as a whole. The index ranges from zero (no difference from the average number of white children in the school district) to 100 (all schools are either all white or all minority). White children include children classified as white in the racial/ethnic survey; Hispanic children were classified as minority when the index was computed.

[b] Low = Less than 10
Medium = 10-30
High = Greater than 30

See Appendix for sources and definitions.

case study district. To allow meaningful comparisons across districts, an indicator of a high, medium, or low level of racial isolation is also included.

The three districts with low levels of pupil racial isolation exemplify two ways a district can achieve racial balance. Harbortown and Burnham Park, the two suburban districts, are fully desegregated. In these two districts school attendance zones have been drawn so that the school enrollment reflects the racial composition of the district. In CSD B, the low value of the racial isolation index also reflects racial balance. However, there is little opportunity for minority - non-minority interaction since CSD B's enrollment is 99 percent Black or Hispanic.

There are higher levels of racial isolation in the remaining case study districts. Bentham and Sheffield have the highest racial isolation indices. Both districts are located in center cities and have a small number of predominantly white schools.

Figure 2.3 shows racial isolation of staff in the case study districts. All of the districts have low or medium levels of isolation of minority staff. CSD B, Harbortown, and Burnham Park have higher levels of isolation of minority staff than of pupils. The highest levels of minority staff isolation are found in the two CSD's.

Low levels of the staff racial isolation index do not necessarily mean that district schools have a racially mixed staff. Most districts have only a small percentage of minority staff. A low index value does not mean that pupils have opportunities to be exposed to minority staff, only that each school building reflects the percentage of minority teachers in the whole district. Medium levels of racial isolation may reflect a deliberate policy to place minority staff in predominantly minority schools in response to demands of the minority community.

Change in Minority Isolation Over Time

The change in minority isolation is measured in two ways. In the first, racial isolation indices over time are compared in each case study district. In the second, an indicator of the net reduction of minority isolation over a span of years (a component of the statistical score of the ESAA application) is used. This latter indicator shows change in minority isolation over time through a weighted measure of the number of minority students in the district who are less isolated after the implementation of

Figure 2.3

RACIAL ISOLATION INDEX OF STAFF: CASE STUDY DISTRICTS

	Racial Isolation Index of Staff[a]	
BASIC PROJECTS	Index	Level of Index[b]
Bentham, NJ	12.1	Medium
CSD A, NY	20.0	Medium
CSD B, NY	20.0	Medium
Harbortown, NY	4.7	Low
Maxwell, NY	1.1	Low
PILOT PROJECTS		
Burnham Park, NJ	5.5	Low
Sheffield, NJ	9.4	Low
Maxwell, NY	1.1	Low

[a] The Racial Isolation Index of the staff measures the extent to which the proportion of white teachers in a minority teacher's school differs from the average number of white teachers in the district as a whole. The index ranges from zero (no difference from the average number of white teachers in the school district) to 100 (all schools are either all white or all minority).

[b] Low = Less than 10
Medium = 10 - 30
High = Greater than 30

See Appendix for sources and definitions.

a desegregation plan.[2] Only Harbortown and CSD B have experienced a decline in racial isolation as measured by the current level of racial isolation or the indicators of change in racial isolation over time.

Figure 2.4 shows racial isolation indices between 1968 and 1975 (the latest year for which data are available) for the case study districts. The figure shows that, on the whole, there were only minor variations over time in the racial isolation indices of each district. The greatest decrease in five of the seven districts occurred between 1968 and 1972. Bentham had a steady rate of decline between 1968 and 1975, while CSD A showed a trend towards increasing racial isolation. However, since CSD A began implementation of its court ordered plan in the 1975-76 school year, these data do not reflect the current level of racial isolation.

Data on the indices of the net reduction of minority isolation which show the changes in minority isolation from the year before the implementation of the desegregation plan to FY 76, are presented in Figure 2.5. The two indices are measures of the number and percent of minority children affected by the district's desegregation plan. Only children transferred from schools with a minority enrollment exceeding 50 percent to a school with an enrollment that is less than 50 percent minority are fully counted. All other minority children affected by the plan are assigned a weight that is less than 1 depending on the racial/ethnic composition of the sending and receiving schools.

These indices show no effective net reduction in the isolation of minority children in Bentham, CSD B, or Sheffield. Although both Harbortown and Burnham Park have a low index of racial isolation, the indices of effective net reduction are different. Harbortown's proportion of minority enrollment is below 50 percent. Since the enrollment in each school reflects the enrollment in the district, every minority student is in a school that is below 50 percent minority. In contrast, Burnham Park has a minority enrollment of 60 percent. Because some minority students are in schools with minority enrollment above 50 percent, Burnham Park's indices of effective net reduction of minority isolation are lower than Harbortown's. In CSD A, the case study district desegregating under court order, only a small number of minority children were affected by the plan as measured by the effective net reduction index. The relatively high index in Maxwell of the number of minority children

Figure 2.4

RACIAL ISOLATION INDEX OF STUDENTS:
CASE STUDY DISTRICTS 1968-1975

	Racial Isolation Index of Students:[a]			
BASIC PROJECT	1968	1972	1973	1975
Bentham, NJ	45.8	43.3	42.1	41.7
CSD A, NY	21.8	23.9	26.9	26.1
CSD B, NY	3.6	1.4	1.6	0.7
Harbortown, NY	4.1	3.7	4.0	2.6
Maxwell, NY	35.6	34.5	35.0	34.9
PILOT PROJECTS				
Burnham Park, NJ	1.6	1.9	2.5	1.1
Sheffield, NJ	52.8	44.0	41.3	42.8
Maxwell, NY	35.6	34.5	35.0	34.9

[a] The Racial Isolation Index measures the extent to which the proportion of white children in a minority child's school differs from the average number of white children in the district as a whole. The index ranges from zero (no difference from the average number of white children in the school district) to 100 (all schools are either all white or all minority).

See Appendix for sources and definitions.

Figure 2.5

EFFECTIVE NET REDUCTION OF MINORITY ISOLATION:
CASE STUDY DISTRICTS - FY 1976

	Indices[a]	
BASIC PROJECTS	Number	Percent
Bentham, NJ	0	0.0
CSD A, NY	433.3	8.5
CSD B, NY	0	0.0
Harbortown, NY	703.8	38.3
Maxwell, NY	865	4.7
PILOT PROJECTS		
Burnham Park, NJ	201.9	15.0
Sheffield, NJ	0	0.0
Maxwell, NY	863	4.7

[a] These indices result in fractional number and percent figures because they are derived from weighted counts of minority children. Only minority children transferred from schools with an enrollment greater than 50 percent minority are fully counted. Minority children transferred into schools with more than 50 percent minority children are assigned a weight of less than one based upon the racial/ethnic composition of the receiving school.

See Appendix for sources and definitions.

affected by the plan reflects projected enrollment statistics, not the actual number of pupils affected by the plan.

Special Need Populations

Two special need populations served by most school districts are economically and educationally disadvantaged pupils. Because many districts which are eligible for ESAA also have a high concentration of special need populations, ESAA has been one source of funding for compensatory services provided to these children. Although neither the ESAA Basic or Pilot programs require districts to use project funds to serve such children, there has been much speculation that ESAA may serve as a supplement to other Federally-funded programs, especially Title I, ESEA. Therefore, the concentration of these special need children in the case study districts is displayed in Figure 2.6.

Each case study district in New York and New Jersey was given a quartile rank for the relative number of educationally and economically disadvantaged students in the district. To facilitate making comparisons among districts, the quartile ranks were given a value of high, medium, or low.[3] The middle quartiles were grouped together. In Figure 2.6, high represents large numbers of disadvantaged children.

The center city, predominantly minority, districts have the highest concentrations of economically and educationally disadvantaged children. The two suburban districts have the smallest concentrations of these children.

Metropolitan Status

The case study districts include five center city and two suburban districts (see Figure 2.7). Two of the center city case study districts are community school districts (CSDs) within New York City. In 1970, the New York City Board of Education decentralized and transferred administrative authority over its elementary and middle schools to 32 community school districts. The Central Board of Education retained control over the high schools and other special schools in the city. The Central Board continued to have authority over professional staff hiring and implementation of the city-wide desegregation plan.

Figure 2.6

CONCENTRATION OF ECONOMICALLY AND EDUCATIONALLY DISADVANTAGED CHILDREN: CASE STUDY DISTRICTS

	Economically Disadvantaged		Educationally Disadvantaged	
BASIC PROJECTS	Percent of Total Enrollment	Quartile Rank Within Region	Percent of Total Enrollment	Quartile Rank Within State
Bentham, NJ	17.7	High	27.9	High
CSD A, NY	29.6	High	30.0	High
CSD B, NY	71.3	High	54.0	High
Harbortown, NY	9.1	Medium	14.0	Low
Maxwell, NY	14.6	Medium	32.0	High
PILOT PROJECTS				
Burnham Park, NJ	6.9	Medium	14.8	Medium
Sheffield, NJ	29.5	High	30.1	High
Maxwell, NY	14.6	Medium	32.0	High

See Appendix for sources and definitions.

Figure 2.7

METROPOLITAN STATUS OF CASE STUDY DISTRICTS

BASIC PROJECTS	
Bentham, NJ	Center City
CSD A, NY	Center City
CSD B, NY	Center City
Harbortown, NY	Suburban
Maxwell, NY	Center City
PILOT PROJECTS	
Burnham Park, NJ	Suburban
Sheffield, NJ	Center City
Maxwell, NY	Center City

See Appendix for sources and definitions.

The CSDs are responsible for assignment of staff to school buildings within the CSD and the planning of school curriculum. CSDs may develop a desegregation plan for the schools in the CSD or participate in the city-wide open enrollment plan adopted by the Central Board.

The Desegregation Experience

Given the legislative intent of ESAA, a district's experience in implementing its desegregation plan is expected to be a primary determinant of the content and dollar value of ESAA Basic or Pilot projects as proposed and funded. This section describes four aspects of the desegregation experience in the case study districts that are of interest. These characteristics are: (1) the type of plan; (2) the recency of the plan; (3) plan features; and (4) community response to desegregation.

Type of Plan

Desegregation plans are classified as required or non-required. A required plan is one that has been adopted as the result of a Federal or state court, an executive agency such as the United States DHEW, the Office for Civil Rights, or the State Education Agency (SEA). A non-required plan is one adopted voluntarily by a local school board.

As shown in Figure 2.8, four of the seven case study districts were implementing non-required plans. The others (Bentham, CSD A, and Burnham Park) were required to implement plans. Bentham and Burnham Park were under order of the New Jersey State Commissioner of Education to implement a plan for the desegregation of their schools. CSD A has implemented a plan under order of a Federal district court which found evidence of deliberate discrimination in the actions of the Community School Board.[4]

Recency of the Plan

Case study districts were selected to provide variability in the recency of the desegregation plan and were not, therefore, typical of districts in Region II. Districts with more recent plans may have more acute or perhaps different desegregation-related needs than those

Figure 2.8

TYPE OF DESEGREGATION PLAN: CASE STUDY DISTRICTS

BASIC PROJECTS	Type of Plan
Bentham, NJ	Required[a]
CSD A, NY	Required[b]
CSD B, NY	Non-Required
Harbortown, NY	Non-Required
Maxwell, NY	Non-Required
PILOT PROJECTS	
Burnham Park, NJ	Required[a]
Sheffield, NJ	Non-Required
Maxwell, NY	Non-Required

[a] Desegregation plan was required by the New Jersey State Commissioner of Education.

[b] Desegregation plan was required by the Federal District Court.

See Appendix for sources and definitions.

that desegregated at an earlier time. Figure 2.9 shows the year the case study districts implemented their plans. Four of the case study projects desegregated prior to 1964. Maxwell desegregated in the 1971-72 school year. However, the current Maxwell desegregation plan was adopted after a period of open enrollment followed by a year of mandatory busing. The two most recent plans, those implemented in Bentham and CSD A, are also required plans. In the four districts where the desegregation plans were implemented prior to 1964, children now in the schools were not affected by a change in school assignment plans due to desegregation.

Plan Features

The case study districts were also selected to provide examples of some or all of four general features of desegregation plans found in Region II:

- Open enrollment policies. A plan in which students are allowed to transfer to other schools in the district but outside the attendance zone serving their neighborhood.

- Open enrollment plans with magnet schools. Plans which offer attractive programs at selected schools as an incentive for students to transfer to the sites.

- Attendance area rezoning. A plan in which students are reassigned from one school building to another. Some rezoning plans merely change the grade structure served by one or more school buildings. Other rezoning plans change the grade structure and the geographic area served by one or more school buildings.

- Paired or tandem schools. A plan in which a school serving a predominantly white enrollment is matched to a school serving an enrollment that is predominantly minority. Students are assigned to each school in order to effect a racial balance. This can be accomplished either by transferring grade levels (1-3 at one school, 4-6 at the other) or by transferring half the students in each school.

Figure 2.9

RECENCY OF THE DESEGREGATION PLANS: CASE STUDY DISTRICTS

BASIC PROJECTS	Year of Plan Implementation
Bentham, NJ	1976-77
CSD A, NY	1975-76
CSD B, NY	1960-61
Harbortown, NY	1963-64
Maxwell, NY	1971-72
PILOT PROJECTS	
Burnham Park, NJ	1962-63
Sheffield, NJ	1963-64
Maxwell, NY	1971-72

See Appendix for sources and definitions.

Figure 2.10 shows desegregation plan features for case study districts taken from descriptions of desegregation plans filed in FY 76 ESAA applications. Although the desegregation plans of these districts include many of the features of plans in other Region II districts, they are not necessarily representative samples of the desegregation plans of Region II districts.

The display of plan features may suggest a more active desegregation process than actually is taking place in some districts. In districts such as Sheffield and CSD B, where the enrollment is over 90 percent minority, the plan affects only a tiny percentage of the enrollment. Similarly in Maxwell and Bentham, the magnet schools offer the opportunity of desegregated schooling to only a tiny fraction of the district's enrollment. The plans with the greatest impact on the racial/ethnic composition of the district's schools were those implemented by Burnham Park and Harbortown. As noted previously, the mandatory reassignment plans in the two suburban districts has resulted in racial balance in all the district's schools. In CSD A, the previously segregated junior high school was designated a magnet school and required to have an enrollment reflective of the racial enrollment of the district as a whole within three school years. The attendance zones of all other junior highs (grades 7-9) and two middle schools (grades 6-8) were re-adjusted to insure that the pupil racial/ethnic composition of each school also reflected the total racial composition of the district. CSD A also voluntarily participates in the New York City Central Board Open Enrollment plan. Under this plan, CSD A schools receive approximately 800 students from more racially isolated schools in other CSDs in the same borough.

Community Reaction to the Desegregation Plan

Because most school districts in Region II receiving an ESAA Basic or Pilot grant desegregated at least seven years prior to this study, school desegregation is no longer a salient issue. There is, therefore, no community reaction to the plan. In the two districts that have implemented plans since 1975, CSD A and Bentham, the reaction to these new plans and changes varied according to the plan's impact on the student population in the district. In CSD A the desegregation plan is a source of community conflict and violence. In the time between the court order and the implementation of the plan, opponents of desegregation organized boycotts at one of the middle

Figure 2.10

FEATURES OF DESEGREGATION PLANS: CASE STUDY DISTRICTS

BASIC PROJECTS	Open Enrollment	Open Enrollment With Magnet Schools	Attendance Area Rezoning	Paired or Tandem Schools
Bentham, NJ		X		
CSD A, NY		X	X	
CSD B, NY[a]	X		X	
Harbortown, NY			X	X
Maxwell, NY		X		
PILOT PROJECTS				
Burnham Park, NJ			X	
Sheffield, NJ	X		X	
Maxwell, NY		X		

[a] CSD B submitted the NYC desegregation plan; no school in CSD B participates as a "sending" or "receiving" school in the NYC plan.

See Appendix for sources and definitions.

schools included in the plan. Violent opposition to the reassignment of high school students spilled over into the junior high schools. Despite the efforts of the CSD A School Board to facilitate peaceful implementation of the plan and the Board's attempts to cultivate the support of parents, staff, and community, the district has been the site of sporadic violence. There have been attacks on minority students enrolled in schools in white neighborhoods and inter-racial conflicts within the schools. Minority parents express concern for the safety of their children and have expressed their desire to keep them in minority schools in their own neighborhoods. Black parents, whose children were reassigned when the segregated junior high school was transformed into a magnet school, resent the exclusion of their children from the attractive programs established at the magnet school.

In contrast, Bentham's implementation of the voluntary transfer provision of the order was accomplished without confrontation or violence. The relatively low level of public controversy is probably the result of the voluntary nature of the plan and the small (i.e., 130 children) number of participants in the magnet school plan.

ESAA Experience

A district's past experience with ESAA applications and grants implementation is expected to shape perceptions of the national program goals, project design, and project implementation. For that reason, districts were chosen which varied in the number of years that they had applied for and received grants.

In Region II, most applicants for Basic and Pilot competition in FY 76 had applied for or received an award in previous years. Figures 2.11 and 2.12 show the number of years each case study district had applied for and received a grant, respectively. Maxwell and Bentham won grants for the first time in FY 76. Maxwell's staff had prepared applications during the three years that the Office for Civil Rights (OCR) had ruled the district ineligible because of non-compliance with ESAA regulations in the assignment of minority staff. Bentham did not have an eligible desegregation plan until the spring of 1976; its staff had no previous experience in the preparation of an ESAA application.

Figure 2.11

YEARS APPLIED FOR ESAA: CASE STUDY DISTRICTS - FY 1973-77

BASIC PROJECTS	FY 73	FY 74	FY 75	FY 76	FY 77
Burnham Park, NJ	X	X	X	X	X
Sheffield, NJ		X	X		
Bentham, NJ				X	X
CSD A, NY	X	X	X	X	X
CSD B, NY			X	X	
Harbortown, NY	X	X	X	X	X
Maxwell, NY	X	X	X	X	X
PILOT PROJECTS					
Burnham Park, NJ	X	X	X	X	X
Sheffield, NJ		X	X	X	X
Bentham, NJ					
CSD A, NY					
CSD B, NY			X	X	
Harbortown, NY					
Maxwell, NY	X	X	X	X	X

See Appendix for sources and definitions.

Figure 2.12

YEARS RECEIVING ESAA: CASE STUDY DISTRICTS - FY 1973-77

BASIC PROJECTS	FY 73	FY 74	FY 75	FY 76	FY 77
Burnham Park, NJ	X	X	X	X	X
Sheffield, NJ		X			
Bentham, NJ				X	X
CSD A, NY	X		X	X	X
CSD B, NY			X	X	
Harbortown, NY	X	X	X	X	X
Maxwell, NY				X	X
PILOT PROJECTS					
Burnham Park, NJ	X	X	X	X	X
Sheffield, NJ		X	X	X	X
Bentham, NJ					
CSD A, NY					
CSD B, NY			X	X	
Harbortown, NY					
Maxwell, NY				X	X

See Appendix for sources and definitions.

The other five districts had previously won ESAA awards. CSD A has applied for Basic grants in all five years and has been successful in four. Sheffield applied for Basic funds in FY 74 and FY 75. Sheffield has applied for and received Pilot grants from 1974 on. Burnham Park and Harbortown applied for and received funding in each year they have submitted applications. Burnham Park received funding in Basic and Pilot program categories. Harbortown has a minority enrollment of less than 50 percent or 15,000 students, and is eligible for only the Basic program. CSD B is the only case study district which did not apply for funding in FY 77. CSD B sought and received funding for Basic and Pilot projects in FY 75 and FY 76. The district was found ineligible for funding in FY 77.

Summary of Findings

This chapter has described the characteristics of the seven case study districts. Among the seven case study districts:

- there were few differences in district demography. All districts had an enrollment that was at least 30 percent minority; all but the two suburban districts had a high index of racial isolation of pupils and high concentrations of economically and educationally disadvantaged children;

- there was little difference in the desegregation experience of the case study districts. Only two districts had undergone recent desegregation; only three had implemented required plans. With the exception of CSD A, which was implementing a plan that was both recent and required, desegregation was not a salient issue in the community; and

- two of the seven case study districts had not received an ESAA award prior to FY 76.

The case study districts were selected to provide variation in desegregation related characteristics such as the type of desegregation plan and the recency of the desegregation plan that could affect the outcomes of ESAA administration. They were not, therefore, representative of districts in Region II.

FOOTNOTES

1 The staff of the case study districts were told that the district name would not appear in any project reports and that AUI and USOE would make every effort to assure district anonymity. They were cautioned, however, that individuals knowledgeable about the ESAA program and Region II might be able to identify their district.

2 This index includes only minority children enrolled in schools affected by the district desegregation plan.

3 The quartile ranges for economically disadvantaged children were established by ranking within Region all districts with 300 or 50 percent minority children. The quartile ranges for educationally disadvantaged children were established by ranking within state all districts with 300 or 50 percent minority children.

4 The ESAA regulations reserve the term "desegregation" plan for districts implementing required plans. Non-required plans are called plans to reduce, prevent, or eliminate minority isolation. However, as both required and non-required plans are called "desegregation" plans by the general public, the term will be used in its broad definition for this report.

CHAPTER 3: APPLICATION PREPARATION

The Act and regulations define the length of the grant period, the rules of the grant competition and the procedures used to select grantees. The administrative procedures provide guidelines for ESAA program officers who offer information and technical assistance to potential applicants. This chapter compares the impact of the Act, regulations, and administrative procedures and of district characteristics on three outcomes of the FY 77 application preparation process:

- the decision to apply for an ESAA award;
- the content and dollar value of the proposed project; and
- the process used to develop the application.

The Decision to Apply

All seven case study districts had received an ESAA award prior to FY 77. Since the Act and regulations do not limit the number of years a district may apply for a Basic or Pilot award, the districts regarded ESAA as a major source of support for an instructional program considered essential to the district.

CSD B was the only case study district which received an ESAA grant in FY 76 that did not apply in FY 77. CSD B did not apply because district staff had been advised by ESAA program officers that the district was ineligible for an ESAA Basic or Pilot grant. CSD B had been declared eligible to receive ESAA Basic and Pilot grants in FY 75 and FY 76 because the eligibility review performed by OCR had not discovered that the district had no schools affected by a desegregation plan. When this error was discovered by program officers late in the FY 76, application review process program officers allowed CSD B to remain eligible for FY 76 grants. Program officers, however, told CSD B ESAA staff that the district would be ineligible for an ESAA grant in succeeding years unless a desegregation plan was adopted. A desegregation plan was not adopted because there were insufficient white children in the district to desegregate even one school.

The Content and Dollar Value of the Proposed Project

The Act and regulations affect the content and dollar value of the proposed projects through the definition of program objectives, a list of authorized activities a district may propose to achieve the objectives, and the definition of allowable costs. ESAA program officers may influence the content and dollar value of the proposed projects through their interpretation of the Act and regulations and through suggestions for project design provided in technical assistance sessions with potential applicants.

Content of the Proposed Project

The Act and regulations had little impact on the content of the projects proposed by the case study districts in FY 77. District staff who developed the application considered the scope of the legislation to be sufficiently broad that almost any project could be justified. They were aware that the legislation required that Basic projects either meet needs arising from desegregation or encourage the voluntary reduction, prevention or elimination of minority isolation. Pilot projects must meet needs arising from minority isolation. As a result of the wide scope of the legislation, there were many differences in the content of the proposed projects.

Project Components. The Basic applications differed in objectives and in the project components designed to achieve the objectives. The type and features of the desegregation plan in each district were important factors influencing the proposed components. CSD A, the one district experiencing racial tension and violence as a result of the implementation of a court-ordered desegregation plan that required mandatory reassignment of pupils, requested support for human relations teams for the newly desegregated schools. A compensatory education component was also requested to serve children who needed compensatory services but were not eligible for Title I, ESEA compensatory services. The Bentham and Maxwell Basic applications requested support for the attractive programs that formed the core of their magnet school desegregation plan and for human relations teams to recruit pupils into the magnet schools. Harbortown requested support for a compensatory education program, a kindergarten program, and environmental education.

Because the district desegregated in 1963, the proposed ESAA project was not directly related to the implementation of the district's desegregation plan. The proposed project objective was to reduce disparities in achievement between white and minority children.

The three Pilot applications proposed different approaches to meeting the special needs of children in minority isolated schools. The Maxwell Pilot project proposed performing arts, compensatory education, and language development components similar to those included in the Basic project application, and an all-day kindergarten component. The compensatory components were designed to meet the needs of minority isolated children achieving below grade level because of insufficient mastery of basic skills. The other project components were designed to stimulate minority isolated students' interest in learning. The Burnham Park project was designed to provide compensatory reading and mathematics to minority isolated children who were achieving below grade level but above levels necessary to receive Title I, ESEA services. The Sheffield Pilot application was a multi-faceted attempt to meet the needs of minority isolated children. The project proposed a two-week program of outdoor education for all fifth-grade pupils and their teachers. The application combined outdoor education and classroom activities into a program to provide Sheffield's students with positive interracial contacts and examples of successful educational experiences.

Non-public school participation. The Act and regulations require that representatives of non-public schools participate in the development of the application and be served by the ESAA project if the non-public school pupils have needs resulting from minority isolation. The Act and regulations do not require that the non-public schools be affected by, or supportive of, the district's desegregation plan.

Five of the case study districts included non-public school pupils in the application. CSD A, Maxwell, and Harbortown requested teachers, aides, and materials for compensatory programs for non-public school students to be served at the non-public school site. Bentham invited non-public school children to participate in the ESAA activities at the magnet school sites. The proposed participation of the non-public school children at the magnet school sites was intended to reduce minority isolation for at least part of the school day. The

Sheffield Pilot application also proposed the inclusion of pupils from non-public schools to participate in the ESAA project. Inclusion of the non-public students was intended to increase the likelihood of interracial contact between white and minority pupils during the two-week sessions.

District staff who participated in the development of the application expressed uncertainty as to the services that could be provided to non-public schools, especially if the non-public schools offered alternatives to white parents who wished to remove their children from desegregated environments. In Maxwell, an Advisory Committee member questioned the constitutionality of providing public funds to religious schools. In CSD A, the Director of Federal Funding included in the application compensatory services to two Jewish day schools serving students whose primary language was Ladino. Because Ladino is a derivative of Spanish, she felt these children were members of a minority group authorized to receive ESAA. All the district staff involved in application development requested clearer Federal guidelines on the rules for the selection of non-public school sites, the type of services that can be provided, and the manner in which the services should be provided. If this could not be provided, they suggested the elimination of the requirement for non-public school participation in the ESAA program.

Information dissemination and technical assistance. The information dissemination and technical assistance provided by ESAA program officers had little impact on the content of the proposed projects. District staff that developed the application in the case study districts did not view ESAA program staff as a possible source of information on project design. If the district staff encountered difficulty in developing some aspects of the proposed project, they requested and received assistance from an intermediate unit such as the Board of Cooperative Extension Services (BOCES) in New York. The area of greatest difficulty was in developing an evaluation methodology for the proposed project. Many districts enlisted the aid of consultants who would later perform the evaluation if the district received the grant.

Veteran application developers did consider the information and technical assistance provided by ESAA program officers to be essential to the success of the application in the grant competition. They detected

changes in the emphasis of the ESAA program over the years and believed that ESAA panelists (who rated the application) were instructed to review applications according to the current year's program emphasis. These more experienced application developers, therefore, carefully scrutinized the language of ESAA program officers to identify the key words and phrases that reflected the program's emphasis. For example, all Basic application developers were aware that the application in FY 77 must show the relationship of the proposed project to the district's desegregation plan.

The more experienced application developers were also more likely to receive the assistance necessary to enhance the success of their applications. This was true because technical assistance is only provided on a request basis and district staff new to the application process did not ask for the necessary assistance. All districts except Bentham requested some type of individual technical assistance from ESAA program officers. This assistance consisted of informal discussions to ensure that the language of the application would satisfy panel reviewers or an elaboration on the information collected at the annual program dissemination meeting. For example, Maxwell staff delivered their application to the Regional Office to allow the ESAA program staff to review and critique the draft. The Burnham Park and Sheffield applications were also reviewed by the ESAA program officers. Staff in the other districts frequently called ESAA program officers to test ideas that might be used in the application. The most common topic was justification of need for the proposed projects.

The Bentham experience provides an example of one weakness in the way ESAA program officers currently provide technical assistance. When Bentham first applied in FY 76, district staff charged with application development were unaware that technical assistance was available. The original application was based upon the belief that all features of the district's desegregation plan could be funded by ESAA and that there were no limits on the size of the grant. In FY 77, although the application developers were aware they could ask for assistance, they reported they did not request assistance because they did not know what kinds of questions to ask.

Dollar Value of the Proposed Project

Basic and Pilot program funds are allocated among states based on the relative distribution of minority children. Applicants compete for grant dollars within state and program categories. The Act and regulations, however, do not provide a formula for determining the size of the grant a district may request or receive. The influence of the Act and regulations on the dollar value of the proposed project is in the definition of allowable costs. Administrative procedures may affect the dollar value of the proposed project. Budget requests are reviewed to determine if proposed costs are both allowable under the legislation and reasonable, given district resources and needs related to the objectives of the ESAA legislation.

Most district staff involved in application development expressed the belief that the Act and regulations place few limitations on the size of a grant that may be requested and received within the guidelines of allowable costs and dollars available within state and program category. All applicants felt that ESAA program officers were reluctant to provide budget guidelines because of the flexibility of the Act and regulations. Several factors believed to be related to the dollar value of the proposed projects are displayed in Figure 3.1. The budgets originally proposed in the FY 77 applications showed little relationship to the metropolitan status of the districts or to the recency or type of desegregation. The two district characteristics that were most directly related to the grant requested were the size of the grant received in the preceding year and the state in which the district is located. Most districts requested a grant in FY 77 that was similar in dollar value to the grant received in the preceding year. The small size of the Burnham Park Pilot application was a reflection of the district's realistic appraisal of the dollars available to Pilot applicants in the state and of the competitive nature of Pilot applicants in New Jersey.

The Process Used to Develop the Application

The Act and regulations specify some of the tasks a district must undertake to prepare an ESAA application. The tasks include (1) early and continued consultation

Figure 3.1

DOLLARS REQUESTED IN FY 1977 AND SELECTED DISTRICT CHARACTERISTICS: CASE STUDY DISTRICTS

	FY 77 1st Submission Dollar Amount Requested	FY 76 Dollar Amount Received	District Metropolitan Status	Desegregation Plan Year Implemented	Type
BASIC PROJECTS					
Bentham, NJ	$ 951,000	$942,809	Center City	1976-77	Required
CSD A, NY	1,362,787	933,902	Center City	1975-76	Required
CSD B, NY	----------Did not Apply in FY 1977----------				
Harbortown, NY	1,044,506	732,888	Suburban	1963-64	Non-Required
Maxwell, NY	1,525,709	774,726	Center City	1971-72	Non-Required
PILOT PROJECTS					
Burnham Park, NJ	153,582	113,300	Suburban	1962-63	Required
Sheffield, NJ	1,019,955	946,092	Center City	1963-64	Non-Required
Maxwell, NY	3,345,457	713,554	Center City	1971-72	Non-Required

See Appendix for sources and definitions.

with school staff, community members, representatives of non-public schools and secondary students on all phases of the project design, (2) performance of an annual needs assessment, and (3) submission of the completed application to the State Education Agency (SEA) for review. Each of these tasks is designed to ensure that the project is based upon a thorough understanding of district needs related to ESAA program objectives and that the project, if funded, will have widespread support in the district. This section will also discuss the special problems for districts without a current project.

Consultations outside the Application Development Team

The application development team formed of specialized application writers in each district had the greatest influence on the design of the proposed ESAA project. The contributions of other persons, such as the Advisory Committee, to application preparation varied according to how long the district had received an ESAA grant. Advisory Committees in districts with little ESAA experience characterized themselves as "rubber stamps." Advisory Committees in districts with more ESAA experience saw themselves as active participants in the development of the application; their active participation, however, resulted in few differences in the substance of the current project proposed in the application. At most, a component was added to the project (in Harbortown's application), the schools served by the project were changed (in the Maxwell Basic application), or the projected number of participants was expanded (in the Sheffield Pilot application).

The Needs Assessment

Since the goal of most application developers is to secure continued ESAA funding for the existing project, a formal needs assessment is generally not performed. Development of the "needs assessment" section of the application is limited to collecting data required to justify the need for the existing project in terms of the ESAA legislation. For example, achievement test data are often collected to support the need for projects to remedy achievement disparities between white and minority pupils.

Two districts, CSD A and Harbortown, perform a comprehensive needs assessment each year. The needs assessment is part of a district-wide effort to identify district needs and to establish district goals and priorities. Once these goals are established, the application development team is expected to determine how ESAA funds may be used to support part of the district's instructional program. In FY 77, Harbortown added a kindergarten and an environmental education component to the proposed project as a result of the needs assessment. The CSD A application requested continued support for the human relations and compensatory education components supported by ESAA.

The SEA Review

The requirement that the SEA review applications is both a Federal courtesy to the SEA and a deliberate effort to encourage the SEA to provide technical assistance to the applicants. The SEA review is performed by the staff of the "Equal Educational Opportunity" division within each SEA.

Since SEA staff must review all Basic and Pilot applications which are submitted by the districts, generally in a two-week time period, they have time for little more than routine approval of all the applications in the state. Therefore, the districts did not generally benefit from the two-week review period. In addition, none of the case study districts received any substantial technical assistance from the SEA during the application process.

Special Problems for Districts without a Current Project

None of the case study districts were first time applicants for a Basic or Pilot grant in FY 77. The application process used to develop the FY 76 ESAA applications illustrates the special problems experienced by districts that had not received a Basic or Pilot grant when trying to comply with ESAA regulations requiring a needs assessment and public participation in Basic and Pilot project application development.

The Maxwell Basic and Pilot applications in FY 76 were almost exclusively the result of the ideas and efforts of the application development team. The Maxwell team had

developed unsuccessful applications in prior years because the district did not meet all of the ESAA civil rights compliance eligibility criteria. Therefore, the district was unwilling to commit substantial resources to what had proven to be an unsuccessful effort in past years. School building staff or community people were reluctant to participate in Advisory Committee meetings or in the project design for similar reasons. No formal needs assessment was completed. As a result, components for the magnet school program were developed without the knowledge or acceptance of the principals in whose schools the Basic project was to be placed. The Advisory Committee, uncertain of their role in the application process, approved the application without a thorough review.

In FY 76, Bentham's superintendent contracted with two consultants, a human relations expert and a well-known, successful Federal grant application writer, to develop the ESAA application. When the submission date grew near and no application appeared, a local task force consisting of an assistant superintendent and two elementary school principals were pressed into service to develop the application. Again, no needs assement was completed. An Advisory Committee was assembled for the sole purpose of meeting the ESAA program requirement of public participation in application development.

Summary of Findings

This chapter compared the impact of the Act, regulations and administrative procedures on three outcomes of the application preparation process: 1) the decision to apply for an ESAA award; 2) the content and dollar value of the project as proposed; and 3) the process used to develop the application. Major findings were:

- the Act and regulations placed few constraints on the content and dollar value of the proposed project. The proposed projects reflected local perceptions of general education needs;
- information dissemination and technical assistance provided by ESAA program officers had little impact on the content and dollar value of the proposed projects;

- experienced application developers believed that information dissemination and technical assistance were essential to successful packaging of the application. Less experienced application developers could not effectively use technical assistance to enhance the chances for success of their application; and

- the Act and regulations had little impact on the process used to prepare the project application. Once a successful application is developed, succeeding applications propose either the current project or a modified version of the existing project.

CHAPTER 4: APPLICATION REVIEW

The application review process includes four major steps: 1) the eligibility review; 2) the scoring of the application on the basis of the district's need for assistance and the quality of the proposed project; 3) the administrative review of the budget; and 4) the preparation of the grant award document. This chapter presents an assessment of the FY 77 application review steps on three outcomes of the review process:

- Changes in district practices or policy to remedy past discrimination;
- Changes in the content or the dollar value of the proposed project; and
- The timing of the grant award.

The Eligibility Review

The eligibility review is performed by the DHEW Office for Civil Rights (OCR). No district can obtain an ESAA Basic or Pilot grant unless OCR certifies that the district has an eligible desegregation plan and meets other ESAA civil rights compliance standards which prohibit discrimination. Neither the Act nor the regulations allow consideration of the recency of the district's desegregation plan or the number of children affected by the plan during the eligibility review process. A district which desegregated in the 1960's and which has not made major changes to the desegregation plan since that time is considered equally eligible as a district which implemented a desegregation plan during the year the application was submitted. Similarly, a district whose plan affects only a small percentage of the district's schools is considered equally eligible as a district whose plan affects the racial composition of all the district's schools.

The eligibility review had an impact on the practices of the case study districts and on the timing of the grant award. First, districts found ineligible for ESAA were willing to take actions required to obtain a Basic or Pilot award. Second, the time required for the eligibility review process delayed the awarding of the grant for several weeks and sometimes for months.

Compliance with ESAA regulations and civil rights standards. The three case study districts that were found ineligible for ESAA in FY 76 were willing to take actions required to obtain an ESAA award. Maxwell agreed to reassign 44 teachers so that the staff at each school would be within 20 percent of the district-wide number of minority staff. Bentham and Sheffield agreed to provide additional programs for children whose primary language was other than English. In FY 77, CSD A agreed to reassign staff and to provide additional bilingual education programs.

Although the eligibility review caused the case study districts to change district practices to remedy past discrimination, the procedures used by OCR to determine plan eligibility and civil rights compliance are not always reliable. Case study districts found by OCR to have plan eligibility in past years may be considered ineligible the next year. CSD B is an example of such an error. OCR granted CSD B eligibility for two years (FY 75 and FY 76) even though no district schools were affected by any desegregation plan.

The FY 77 eligibility review provides other examples of the unreliability of the eligibility review process. Regional OCR had recommended to Central OCR that all of the case study districts, with the exception of Burnham Park, receive a letter of ineligibility. However, Central OCR authorized letters of ineligibility only for the New York City Board of Education and the Community School Districts which were the subject of a separate comprehensive compliance review under Title VI of the Civil Rights Act of 1964. When Central OCR did not authorize that the letters of ineligibility be sent to the other districts applying for ESAA Basic or Pilot grants in Region II, Regional OCR did not declare these districts eligible for an ESAA grant. Instead these districts received a letter of findings, citing evidence of discrimination and requesting that the district supply information demonstrating that observed patterns of disparities in the treatment of white and minority pupils and staff were the result of sound educational practice, and not of discriminatory policies or practices by the district.

In all cases where a letter of findings was sent, Regional OCR eventually declared the district to be eligible for ESAA. However, neither Central nor Regional OCR could explain the reasons why these districts were

originally believed ineligible for ESAA or why the initial findings were reversed after receipt of information from the districts.

Delays in grant awards. ESAA administrative procedures require OCR to complete the plan eligibility review two days after the application is filed. Review of civil rights compliance is allowed an additional 45 days. However, the review and the associated negotiations of the action a district must take to achieve ESAA eligibility may take up to six months. Although ESAA regulations do not require that grants be awarded before the end of the fiscal year (September 30 of each year) the receipt of a grant in late summer or early fall is at the least an inconvenience to the district staff responsible for project implementation. Chapter 5 demonstrates that these delays are the cause of many of the implementation problems experienced by the funded projects.

In FY 77, determinations of plan eligibility were made as late as August 7, 1977; final decisions on civil rights compliance were made as late as September 29, 1977.

In FY 77, these delays were caused by three factors:

1. a DHEW decision to use the 1976 OCR survey as the major data source for the civil rights compliance review. Most districts in Region II did not submit these OCR forms until late April, two months after the beginning of the application review process;

2. the magnitude of the statistical analysis required to identify evidence of ESAA eligibility. OCR program officers had to review the new data describing each district's schools and classrooms; and

3. the lengthy hearing and negotiation process required to determine district eligibility or to negotiate a plan to remedy past discrimination.

The length of time required to complete the eligibility review is influenced by the district as well as OCR. A district may delay the review by refusing to supply needed information or by refusing to agree to take steps required to receive a waiver of ineligibility until the last weeks of the fiscal year.

Application Scoring

The application scoring process includes up to four steps:

- ESAA Basic and Pilot applications are scored in two parts: a statistical or 'stat' score, measuring each district's need for assistance, and a quality score, measuring the appropriateness and comprehensiveness of the proposed project. The sum of these two scores is the composite or total score.

- The applications are ranked within state by composite score and funded until two-thirds of the allocation in each program category is exhausted.

- Districts which did not achieve the minimum quality (28 for Basic, 33 for Pilot) or total (40 for Basic, 45 for Pilot) score, or which were not funded because there were insufficient funds in the program category, are allowed to revise and resubmit their application.

- A second, or resubmit, cycle is then completed to award the remaining one-third of the state's allocation.

Applicants that were not funded at the end of the second cycle, but that received scores above the minimum required to receive an ESAA grant (a category called "Fiscal Hold") may receive an award when funds from states where there were more funds than qualifying applicants are redistributed to states where there were more qualifying applicants than funds.

As this section will discuss, the application scoring process may influence the timing of the grant award. The process may also change the content and the dollar value of the proposed project.

The Relative Impact of the Statistical and Quality Scores

In both the Basic and Pilot grant programs, the ESAA regulations assign a higher number of points to the statistical score, which measures the need for assistance,

than to the quality score, which measures the appropriateness and comprehensiveness of the proposed project. The higher number of points assigned to the statistical score was intended to result in a competition that was based primarily on need. The program was designed to allow applicants which were below the minimum quality score on the first cycle an opportunity to resubmit their applications. The intent of the program is that all applicants obtain the minimum quality score required to receive an ESAA grant. The quality score, therefore, should affect only the cycle in which the district is funded.

The statistical and quality scores received by each case study applicant and the applicant's rank within state and program category are displayed in Figure 4.1. An analysis of the relative importance of the quality and statistical scores in determining whether an applicant received a Basic or Pilot grant, described in Volume I of this study, finds that the quality score was more important than the statistical score in Region II. In the New York and New Jersey Basic competitions, all eligible applicants that received a quality score in the fundable range received a grant. The quality score received by the application was, therefore, the only factor that determined whether the application was funded. In the Pilot competitions in Region II, two eligible New York applicants that received a score in the fundable range did not receive a Pilot grant. The quality score was more important than the statistical score in determining the districts' rank in the Pilot competition.

The Statistical Score

ESAA program officers calculate a stat score for each application from enrollment statistics supplied by the applicant. The stat score has four components:

- the number of minority pupils;
- the percentage of minority pupils;
- the number of the district's minority pupils for whom minority isolation was prevented, reduced, or eliminated (reduction score 1); and

Figure 4.1

APPLICATION SCORES AND RANKINGS WITHIN STATE: CASE STUDY DISTRICTS - FY 1977

STATE AVERAGE/ BASIC PROJECT	FIRST SUBMISSION[a] Statistical Score Points	Rank	Quality Score Points	Rank	Composite Score Points	Rank	RESUBMISSION[b] Statistical Score Points	Rank	Quality Score Points	Rank	Composite Score Points	Rank
Maximum Points	80.0		45.00		125.00		80.0		45.00		125.00	
NEW JERSEY	16.9		19.50		36.50		17.6		29.70		47.30	
Bentham	29.0	1	19.33	7	48.33	3	29.0	1	29.33	7	58.33	3
NEW YORK	23.2		23.10		46.30		24.3		28.50		52.80	
CSD A	21.0	18	41.33	3	62.33	3	----------Did Not Resubmit----------					
CSD B	----------Did Not Apply in FY 1977----------											
Harbortown	28.0	5	20.00	15	48.00	12	28.0	2	36.33	3	64.33	3
Maxwell	24.0	14	36.66	8	60.66	4	----------Did Not Resubmit----------					
STATE AVERAGE/ PILOT PROJECTS												
Maximum Points	55.0		53.00		108.00		55.0		53.00		108.00	
NEW JERSEY	21.3		38.70		60.00		21.3		40.90		62.20	
Burnham Park	16.0	3	46.33	2	62.33	2	----------Did Not Resubmit----------					
Sheffield	30.0	1	47.33	1	77.33	1	----------Did not Resubmit----------					
NEW YORK	24.5		31.70		56.20		23.8		40.60		64.40	
Maxwell	19.0	12	49.33	2	68.33	4	19.0	9	53.00	1	72.00	4

[a] BASIC
NJ: 14 applications, 3 districts funded
NY: 27 applications, 0 districts funded

PILOT:
NJ: 3 applications, 0 districts funded
NY: 13 applications, 0 districts funded

[b] BASIC
NJ: 11 applications, 6 districts funded
NY: 17 applications, 4 districts funded

PILOT:
NJ: 3 applications, 0 districts funded
NY: 11 applications, 0 districts funded

See Appendix for sources and definitions.

- the percentage of the district's minority children for whom minority isolation was prevented, reduced or eliminated (reduction score 2).

The first two components of the score include all minority children in the district; the second two components include only minority children in schools affected by the district's desegregation plan.

Although the total statistical scores received by the case study districts were similar, the scores received in each component, displayed in Figure 4.2, were closely related to district characteristics. With the exception of CSD A, the center city districts received the majority of their statistical score points for the number and percent of minority children enrolled in the district. Two of the four center city districts did not receive any points for effective net reduction of minority isolation. CSD A received 6 of its 21 total statistical points for effective net reduction of minority isolation, resulting from the court-ordered desegregation plan. Harbortown and Burnham Park, the two suburban districts, received points for all four components of the stat score.

Although both Burnham Park and Harbortown have desegregation plans that result in minority balance in all of the district's schools, only Harbortown received a relatively high number of points (13 out of 50) for effective net reduction of minority isolation. The disparity in these categories of the statistical score is the result of the weighting procedures used to measure the effective net reduction of minority isolation. Because Harbortown has an enrollment that is less than 50 percent minority, all minority children affected by the plan are counted. In Burnham Park, which has a minority enrollment exceeding 60 percent, the minority children affected by the plan are assigned a weight of less than one (based on the racial/ethnic composition of the school they attend).

The Quality Score

Quality scores are assigned to each application based on the review of a non-Federal panel which rates six sections of the application narrative:

Figure 4.2

STATISTICAL SCORE BY COMPONENTS:
CASE STUDY DISTRICTS - FY 1977

	STATISTICAL SCORE COMPONENTS:[a]				
BASIC PROJECTS	Minority Enrollment	Minority Percent	Reduction Score 1	Reduction Score 2	Total Statistical Score
Maximum Points	15.0	15.0	30.0	20.0	80.0
Bentham, NJ	12.0	14.0	3.0	0.0	29.0
CSD A, NY	9.0	6.0	4.0	2.0	21.0
CSD B, NY	Did not apply in FY 1977				
Harbortown, NY	4.0	11.0	5.0	8.0	28.0
Maxwell, NY	12.0	12.0	0.0	0.0	24.0
PILOT PROJECTS					
Maximum Points	15.0	15.0	15.0	10.0	55.0
Burnham Park, NJ	3.0	10.0	1.0	2.0	16.0
Sheffield, NJ	15.0	15.0	0.0	0.0	30.0
Maxwell, NY	12.0	7.0	0.0	0.0	19.0

[a] "Minority Enrollment" is the number of points received for the number of minority students enrolled.
"Minority Percent" is the number of points received for the percent of minority students enrolled.
"Reduction Score 1" is the number of points received for net reduction in the number of minority students attending minority isolated schools.
"Reduction Score 2" is the number of points received for net reduction in the percent of minority students attending minority isolated schools.

See Appendix for sources and definitions.

- Needs Assessment;
- Objectives;
- Activities;
- Resource Management;
- Evaluation; and
- Replicability (for Pilot only).

Each section is assigned a maximum number of points. The highest number of points is assigned to the activities, not to the needs assessment section of the application.

ESAA program officers select and train the panelists. The quality score an application receives is strongly influenced by the instructions provided to the review panels by ESAA program staff. In FY 77, panel members were directed to assess the extent to which proposed projects met the three objectives of the Act. As a result, the key element in the application review became the needs documented in the needs assessment section of the application narrative. Basic applicants were required to demonstrate that the proposed project met needs related to desegregation; Pilot applicants were required to demonstrate that the proposed project was an innovative attempt to meet needs resulting from minority isolation.

The quality scores assigned to the FY 77 applications, displayed in Figure 4.3, reflect the influence of the instructions given to the panel. Bentham and Harbortown, the two districts that received low scores in the needs assessment section of the application, also received low scores on all other sections of the application. The other applications which received four or more points on the needs assessment section of the application, also received most of the possible points on other sections of the application.

Excerpts from "resubmit letters" sent to Harbortown and Bentham are displayed in Figure 4.4. Both letters relate low scores on other sections of the application to weaknesses in the needs assessment. The resubmit letters sent to other districts which received sufficient points to qualify for an ESAA grant, but were not funded because

Figure 4.3A

PANEL REVIEW SCORE BY COMPONENTS:
BASIC CASE STUDY DISTRICTS - FY 1977

FIRST SUBMISSION FY 1977

BASIC PROJECTS	Number of Points Received For: Needs Assessment	Objectives	Activities	Resource Management	Evaluation	Total Number of Points Received
Maximum Points[a]	6.0	6.0	21.0	6.0	6.0	45.0
Bentham, NJ	1.7	2.3	10.0	3.0	2.3	19.3
CSD A, NY	4.7	5.3	20.0	5.7	5.7	41.3
CSD B, NY	----------Did not apply in FY 1977----------					
Harbortown, NY	3.0	3.0	8.0	3.7	2.3	20.0
Maxwell, NY	4.0	4.3	20.0	3.7	4.3	36.7

RESUBMISSION FY 1977

BASIC PROJECTS	Number of Points Received For: Needs Assessment	Objectives	Activities	Resource Management	Evaluation	Total Number of Points Received
Maximum Points[a]	6.0	6.0	21.0	6.0	6.0	45.0
Bentham, NJ	3.7	3.3	15.0	4.0	3.3	29.3
CSD A, NY	----------Did not Resubmit----------					
CSD B, NY	----------Did not apply in FY 1977----------					
Harbortown, NY	5.0	5.0	17.7	4.3	4.3	36.3
Maxwell, NY	----------Did not Resubmit----------					

[a] Minimum Quality Score required for funding a Basic project is 28.

See Appendix for sources and definitions.

Figure 4.3B

PANEL REVIEW SCORE BY COMPONENTS:
PILOT CASE STUDY DISTRICTS - FY 1977

FIRST SUBMISSION FY 1977

PILOT PROJECTS	Number of Points Received For: Needs Assessment	Objectives	Activities	Resource Management	Evaluation	Replicability	Total Number of Points Received
Maximum Points[a]	6.0	6.0	21.0	6.0	6.0	8.0	53.0
Burnham Park, NJ	6.0	5.7	20.7	4.0	4.0	6.0	46.3
Sheffield, NJ	5.3	5.7	20.7	5.7	4.3	5.7	47.3
Maxwell, NY	6.0	4.0	20.0	5.7	6.0	7.7	49.3

RESUBMISSION FY 1977

PILOT PROJECTS	Number of Points Received For: Needs Assessment	Objectives	Activities	Resource Management	Evaluation	Replicability	Total Number of Points Received
Maximum Points[a]	6.0	6.0	21.0	6.0	6.0	8.0	53.0
Burnham Park, NJ	----------Did not Resubmit----------						
Sheffield, NJ	----------Did not Resubmit----------						
Maxwell, NY	6.0	6.0	21.0	6.0	6.0	8.0	53.0

[a] Minimum Quality Score required for funding a Pilot project is 33.

See Appendix for sources and definitions.

Figure 4.4

EXCERPTS FROM RESUBMIT LETTERS TO
CASE STUDY DISTRICTS - FY 1977

Needs Assessment Section

(to Bentham)

The applicant has submitted an abundance of data relating to the community and school district, however, the magnitude of current desegregated needs has not been established. Current data must be substituted and analyzed. The applicant has not demonstrated that the packaged Random House program can meet the needs of Bentham students. Success data have been provided from what is referred to as "another disadvantageous environment." The analogy of a rural predominantly white disadvantaged area with an urban predominantly black area is questionable, especially when data are available, or should be available, from the Bentham current ESAA program. There is little tie in of the proposed program to what has been, is now, or projected to be going on to meet assessed needs. What is currently being done to meet these most basic needs under (a) LEA local responsibility, (b) Title I and other sources of federal funding coming into the school district? How has the applicant learned from the current ESAA program what solutions worked and what aspects did not? How and where were revisions made accordingly? Would the problems faced by the LEA exist if there was no plan to reduce racial isolation?

(to Harbortown)

The proposal contains many well stated needs, however, most of the needs as stated and documented are unrelated to the implementation of the applicant's desegregation plan. The application has overextended the project programmatically and has overlooked the purposes of the legislation. Needs 1 and 2, Component I, are well stated and doumented. However, need 3 is a general education need and not related to the implementation of the plan. Need 1 in Component II, and needs 1 and 2 in Component IV, are well documented and relate to the district's desegregation plan. However, needs 2, 3, 4, 5, 6, and 7 of Component II, needs 1, 2, and 3 in Component III, and needs 3 and 4 in Component IV are all excellent educational needs, which are laudable, but not supportive to needs related to the implementation of the district's desegregation plan. Much effort has obviously been devoted to supporting the needs, however, the writers of the proposal have not demonstrated the relationship between what seems to be a workable desegregation plan and the identified needs as stated. Component III has been recommended for deletion because in its entirety, it failed to show any relationship to the implementation of your plan.

See Appendix for sources and definitions. 67

of insufficient funds, did not cite the needs assessment as the reason for less than perfect scores on any section of the application.

District characteristics were related to the quality score the application received and the cycle on which the applicant was funded. CSD A received the highest quality score among the case study districts that applied for a Basic grant. Because CSD A was desegregating under court order and was experiencing a violent community reaction to desegregation, the application developers could easily describe needs related to desegregation and relate the project to these needs. Bentham, with the least experienced application development team, had the lowest score. Because the Bentham plan affected very few children, the application developers had great difficulty in relating the project to needs related to desegregation. Harbortown, which had desegregated in 1964 and which enrolled few economically and educationally disadvantaged children, failed to achieve sufficient quality points to receive a Basic grant after the first cycle panel review.

District characteristics were a less important influence on quality scores than the magnitude of desegregation need documented in the needs assessment section of the district's proposal. When the Harbortown FY 77 application was not funded after the first cycle review, the application development team was able to develop a needs assessment section that convinced the panel in the second review cycle of the district's desegregation related needs. During the FY 76 application review, for example, CSD A was party to a desegregation-related lawsuit and was cautioned by its attorneys not to admit that racial tensions and disruptions in the schools were caused by desegregation. The district's application described only the presence of racial tension. As a result, the district's quality score was barely over the minimum acceptable score. The lawsuit was settled before the deadline to resubmit applications and the director was able to add the phrase, "resulting from minority isolation", which made the connection between racial tension in the schools and desegregation. In the second cycle, the district's quality score was raised substantially.

Content of the proposed project. The quality review process had little impact on the objectives and activities included in the project. Among the three Pilot applicants, the two New Jersey districts made no changes to their application when they were not funded on the first cycle. Among the districts which resubmitted their applications, the application teams responsible for Maxwell's Pilot and Bentham's Basic applications regarded the resubmit process as a repackaging effort. They did, however, reduce the proposed number of schools and project components in the resubmitted application. Only Harbortown, deleted a proposed component because the application developers could not relate language development activities to needs resulting from the district's desegregation plan.

Dollar value of the proposed project. In the next section, the administrative budget review is shown to be the most important ESAA administrative process affecting the size of the grant award received by each district. However, the quality review also resulted in reduced budget requests in the three districts that resubmitted their applications. The budget requests submitted in each review cycle and the final grant award received by these districts are displayed in Figure 4.5. These reductions are the result of panel recommendations to delete unauthorized project components and schools served. The dollar amount requested in the resubmission also may reflect more realistic expectations on the part of the district of the grant dollars available in each state and program category.

The most significant impact the quality score may have is on the size of the grant a district may receive when the district ranks last among those funded in that state or program category. For example, the Maxwell Pilot grant was only $335,243 of the $3,345,457 requested. This amount was determined by the funds remaining in the New York Pilot program after districts with higher scores were funded.

Timing of the grant award. The quality score that an application receives may affect the timing of the grant award, that is, whether the application is funded following the first panel review or is funded later in the fiscal year. Applications which fail to achieve the minimum quality score in the first cycle, as in Harbortown and Bentham, were not funded until after the second cycle panel review. CSD A, which received a quality score above the minimum, was funded following the first review cycle.

Figure 4.5

GRANT DOLLAR AMOUNTS REQUESTED AND RECEIVED:
BENTHAM, HARBORTOWN, AND MAXWELL - FY 1977

BASIC PROJECTS	Final Grant Award	First Submission Dollar Amount Requested	Resubmission Dollar Amount Requested	Percent Change in Amount Requested[a]
Bentham, NJ	$880,972	$ 951,010	$ 880,972	-7.4
Harbortown, NY	820,606	1,044,506	868,351	-16.9
PILOT PROJECTS				
Maxwell, NY	335,243	3,345,457	3,087,173	-7.7

[a] Percent change is amount requested between First Submission request and Resubmission request in FY 1977.

See Appendix for sources and definitions.

However, not all applicants that achieved the minimum quality score in the first cycle were funded immediately. The Maxwell, Sheffield, and Burnham Park Pilot applications were not funded until after the second panel review because there were insufficient funds in either state to fund all eligible applicants until funds were reapportioned.

Administrative Review of the Budget

ESAA regulations do not provide any guidelines on the size of the award a district may receive. The legislation does, however, limit ESAA funding to twelve authorized activities that must be related to the implementation of a desegregation plan or remedying the adverse effects of minority isolation. Services provided by ESAA Basic projects must be in schools affected by the plan. Pilot program funds may only be spent in schools that are over 50 percent minority. Regulations require that proposed costs must reflect local costs and prevailing local rates for other resources.

ESAA program officers perform an administrative budget review to ensure that proposed budgets meet these ESAA requirements. They also examine applications and desegregation plans to insure that Basic project activities are targeted only to schools affected by the plan and that the overall level of funding reflects the magnitude of the impact of the plan. The administrative review of the budget is the most powerful tool available to ESAA program staff to shape the content and dollar value of the funded projects. If after the quality review, unauthorized activities or excessive budget requests are present, program officers can delete those items from the proposed budget.

In Region II, ESAA program officers used the administrative budget review to reduce the magnitude of the activities of the proposed projects. These reductions infrequently resulted in deletion of project components. However, the number of schools or participants served by the project was reduced by as much as one-half.

A comparison of the grant dollars requested and received by the case study districts, is shown in Figure 4.6. Of the four districts that did not resubmit, two, the CSD A and Maxwell Basic projects experienced a large reduction in grant dollars as a result of the

Figure 4.6

GRANT DOLLAR AMOUNTS REQUESTED AND RECEIVED:
CASE STUDY DISTRICTS - FY 1977

	FIRST SUBMISSION			RESUBMISSION	
BASIC PROJECTS	Final Grant Award	Dollar Amount Requested	Grant Amount Received as Percent of Amount Requested	Dollar Amount Requested	Grant Amount Received as Percent of Amount Requested
Bentham, NJ	$ 880,972	$ 951,010	92.6	$ 880,972	100.0
CSD A, NY	1,100,269	1,362,787	80.7	Did not Resubmit	
CSD B, NY	----------Did not Apply in FY 1977----------				
Harbortown, NY	820,606	1,044,506	78.6	868,351	94.5
Maxwell, NY	785,738	1,525,709	51.5	Did not Resubmit	
PILOT PROJECTS					
Burnham Park, NJ	153,582	153,582	100.0	Did not Resubmit	
Sheffield, NJ	1,003,205	1,019,955	98.4	Did not Resubmit	
Maxwell, NY	335,243	3,345,457	10.0	3,087,173	10.9

See Appendix for sources and definitions.

administrative budget review. The other two districts that did not resubmit received almost all of the dollars they requested. Among the three resubmitted applicants, the budget reductions were made as a result of panel comments. The dollars requested in the resubmitted applications were considerably less than those requested in the first application.

The smaller resubmitted budgets were the result of reduction in the proposed number of schools or participants. However, Harbortown deleted one project component. The largest difference between the proposed grant and the grant received was the Maxwell Pilot project. Because the Maxwell project was the last New York Pilot application funded, the size of the grant was influenced solely by the dollars remaining after the other, higher ranking New York Pilot applications were funded.

Preparation of the Grant

Following each panel review cycle, a list of ranked applications by state and program category is sent to Central EEOP. Washington officials coordinate the findings of OCR and issue decision memos allowing the release of funds to successful districts. Before a district can begin spending funds, officials in the Grant and Procurement Management Division (GPM) must review the scope of work and projected budget to see that they conform to the fiscal and administrative requirements of the general provisions for programs administered by DHEW and USOE.

Content and dollar value of the proposed project. In Region II, GPM grant preparation tasks have no impact on the content or dollar value of the proposed project. The GPM program officer responsible for grant preparation indicated that he did not have the time to review the project content or budget. His task was limited to the preparation of the grant award document.

Delays in grant awards. Despite the limited scope of the tasks of GPM, this final step in the application review process delayed many of the awards in Region II for several months. The dates of the decision memos releasing ESAA program funds to each case study district and the date of the grant contract are displayed in Figure 4.7. The dates show delays as long as 10 weeks. The districts

Figure 4.7

DATES OF DECISION MEMOS AND OFFICIAL NOTICE OF GRANT AWARDS: CASE STUDY DISTRICTS - FY 1977

BASIC PROJECTS	Date of Decision Memo	Date of Contract
Bentham, NJ	June 20	September 16
CSD A, NY	September 21	*
CSD B, NY	Did not apply in FY 1977	
Harbortown, NY	June 20	August 18
Maxwell, NY	June 16	September 21
PILOT PROJECTS		
Burnham Park, NJ	August 8	September 21
Sheffield, NJ	August 24	August 30
Maxwell, NY	September 20	September 30

* Contract was not prepared in Region II

See Appendix for sources and definitions.

that experienced the least delay were CSD A, which did not establish ESAA eligibility until the last 2 weeks of the fiscal year, and the Maxwell Pilot application, which had been in fiscal hold until the end of the fiscal year because the amount requested in the application exceeded available funds.

Summary of Findings

This chapter has presented an assessment of the factors affecting the outcomes of the application review process. Major findings were:

- ESAA definitions of eligible desegregation plans are sufficiently broad to allow any district to qualify;
- the OCR eligibility review resulted in changes in district practices or policy to remedy past discrimination. However, the eligibility review was often unreliable;
- case study application developers saw the resubmit cycle as "repackaging"; however applications below minimum quality scores in the first cycle often resulted in changes to the number of schools or pupils served;
- ESAA program officers have only one direct method for influencing the content or dollar value of the funded projects. ESAA program officers used the administrative budget review to eliminate budget items that were excessive, or to reduce the number of schools or participants served at individual schools in two case study projects; and
- the eligibility review process and the grant preparation process frequently delayed the grant award by several weeks or by months.

CHAPTER 5: PROJECT IMPLEMENTATION

This chapter describes the content and implementation of the eight Basic and Pilot projects in the seven case study districts. The first section describes district staff's perceptions of the relationship of the project to desegregation. The second section presents a description of the funded FY 76 projects, including their objectives, activities, participants, costs, and Advisory Committee participation in the project. The third section discusses the impact of the Act, regulations, and administrative procedures (the project monitoring and post-award technical assistance of the Region II program office) on project implementation.

The Relationship of Projects to Desegregation

The ESAA Basic and Pilot programs are designed to support local districts in their efforts to desegregate and to overcome the adverse effects of minority isolation. Once an ESAA award is made, the local district staff must transform the grant dollars into projects designed to meet national program goals and local project objectives. Although the Act defines three broad program goals and authorizes twelve activities for Basic and Pilot projects, it does not further specify the kinds of projects which must be formulated from the activities. The content of the project is the result of the activities of district staff responsible for project implementation and characteristics of the local projects.

Although application developers have learned to justify projects in desegregation-related terms, the relationship of the Basic or Pilot project to the objectives of the Act is not always apparent to other district staff. ESAA staff in five districts, Maxwell, Sheffield, Harbortown, Burnham Park, and CSD B, who had not developed the application could not relate the district project to national program objectives. These personnel thought the purpose of ESAA was to provide:

- a remedy for the problems of urban education;
- a program to provide compensatory education for students requiring remedial services but not eligible for Title I; or

- a program to provide enrichment experiences for underachieving or underpriviledged children.

In the two other case study districts that were desegregating under a recent plan ordered by a Federal court (CSD A) or the SEA (Bentham), most district staff could relate the project to ESAA program objectives. In CSD A, low attendance rates and violence between students, staff and communities were cited by school and district level administrators and staff as problems resulting from desegregation. ESAA was regarded as the sole source of support for programs to confront these problems. The Bentham magnet school project was the principal feature of the district's desegregation plan. District and ESAA project staff agreed that the primary project goal was reduction of minority isolation.

The Eight Case Study Projects

ESAA projects in Region II are difficult to describe for two reasons. These reasons are:

- projects often have incomplete or unreliable project descriptions and budgets; and
- substantial differences can exist in the amount of the grant award received and the amount actually spent.

Most ESAA grant award documents incorporate the final application narrative and budget as the project's scope of work. These documents rarely provide sufficient information to completely identify the schools and populations the components will serve, or the resources allocated to each component. ESAA does not require that the district cross-reference the project budget and components. Additionally, the project design may be amended throughout the review process. Therefore, the budget, often an original document from the first application submission marked with handwritten revisions, will show where cuts in proposed expenditures have been made, but will not show how the budget changes affect the project design. Entire components may be cut from projects with no official record of the changes other than handwritten notes on an application narrative. Moreover, late funding often requires substantive changes to the

project design. Failure to spend the entire grant award within the grant period means that the scope of work is even less reliable.

Objectives and Activities

Case study interviews provided reliable information about the objectives and activities of the eight projects. The case study districts were selected to include at least two examples of programs directed at each of the three legislated objectives of ESAA. Figure 5.1 presents a summary of case study projects by objectives of the national program, local project goals, and components. The Basic projects in Bentham and Maxwell were designed to reduce minority isolation by establishing magnet schools. Bentham offered compensatory curricula to students not eligible for other funded programs who were willing to transfer to magnet school sites, where the majority of pupils were of other races. Maxwell offered enrichment programs in the academics and the arts, primarily drama, dance, and the fine arts, designed to attract white students who resided in the attendance areas of predominantly minority schools, but who chose not to attend those schools. The project also provided compensatory education programs to aid children in overcoming the disadvantages of minority isolation.

The two other Basic projects were designed to meet needs arising from desegregation and to overcome problems resulting from minority isolation. Harbortown's Basic project provided intensive individualized instructional services to reduce the disparity in achievement levels between white and minority students. The project supported computer assisted instruction, language development programs for kindergarten children, curriculum development and in-service training.

Unlike most districts receiving Basic grants, CSD B was not undergoing desegregation or attempting to reduce, prevent, or eliminate minority isolation. The CSD B Basic project showed the characteristics of a Pilot as it was designed to meet needs arising from minority isolation. The purpose of the CSD B Basic project was to meet the learning needs of Spanish-speaking or bilingual students in Spanish dominant or English dominant classes. The project also supported development of multi-cultural

Figure 5.1

SUMMARY OF PROJECTS BY NATIONAL OBJECTIVES, LOCAL PROJECT GOALS, AND PROJECT COMPONENTS: CASE STUDY DISTRICTS - FY 1976

BASIC PROJECTS	National Objectives	Local Project Goals	Project Components
Bentham, NJ	Encouraging the elimination, reduction, or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group children. Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Reducing minority isolation by 12 percent at each of three magnet school sites. 2. Increasing ability in basic skills for a selected number of participants.	• Compensatory Math • Compensatory Reading • Human Relations
CSD A, NY	Meeting the special needs incident to the elimination of minority group segregation and discrimination. Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Reducing racial and cultural differences among students, and encouraging inter-community activities among ethnic groups. 2. Increasing capability in basic skills for a selected number of participants.	• Human Relations • Compensatory Reading • Compensatory Math
CSD B, NY	Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Increasing skills in speaking, reading, and writing Spanish or English for a selected number of participants.	• Language Development • Reading and Writing
Harbortown, NY	Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Reducing the disparity in achievement among minority and white students. 2. Determining potential language difficulties through early intervention at the kindergarten level.	• Supplemental Instruction In Reading and Math • Language Development • Administrative Services
Maxwell, NY	Encouraging the elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group children.	1. Reducing minority group isolation at four project schools. 2. Increasing reading and math achievement scores of participants.	• Human Relations • Attractive Programs (Performing and Fine Arts) • Learning Disabilities Programs • Reading and Math Centers • In-service Training for Teachers

See Appendix for sources and definitions.

Figure 5.1 (Cont'd)

PILOT PROJECTS			
Burnham Park, NJ	Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Increasing achievement in basic skills for a selected number of participants.	• Compensatory Reading and Math
Sheffield, NJ	Encouraging the elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group children. Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Decreasing minority isolation by bringing students together in a human interaction setting. 2. Encouraging teacher participation in successful educational experiences for children. 3. Enabling students to read and comprehend experiential vocabulary and textual material.	• Outdoor Education • Language Experience • Inter-Ethnic Activities • Psycho-motor Development • In-service Training for Teachers
Maxwell, NY	Aiding school children in overcoming the educational disadvantages of minority group isolation.	1. Increasing achievement in basic skills for selected participants.	• Gifted and Talented Programs • All day kindergarten • Remedial Reading • In-Service Training for Teachers

See Appendix for sources and definitions.

curricula, in-service training and the promotion of positive interethnic (i.e., black and Puerto Rican) activities.

There was little to distinguish between Basic and Pilot projects in terms of activities. The three Pilot projects were designed to satisfy the third ESAA objective: programs meeting the special needs of minority school children in racially isolated schools. Burnham Park's Pilot project provided compensatory reading and mathematics to students who were reading below grade level but were not eligible for Title I, ESEA services. The Sheffield Pilot project provided each fifth grade student with a two-week outdoor education experience at a Watershed site 35 miles from the center of the city. In that two weeks, the project provided cognitive development in environmental education, language experience, and psycho-motor development. Also, by including non-public school students the opportunity for interactions with students of other races on a neutral campsite was enhanced. Maxwell's Pilot project offered programs in the performing and fine arts and in foreign language for gifted and talented minority students who would not otherwise have access to such activities. The Maxwell Pilot project offered all-day kindergarten programs in selected schools with over a 50 percent minority population. The objective of the kindergarten program was to provide compensatory basic experiences at the early childhood level. The Maxwell Pilot also offered compensatory programs in reading.

Project Participants

Although enumeration of project participants seems a simple task, neither ESAA legislation, regulations, nor administrative procedures establish any rules for counting project participants. Districts must include projected counts of project participants in their applications. They are not, however, required to update participant counts if changes occur to the proposed project during the application process. In Region II, the number of schools served by the ESAA project or the number of staff assigned to each school were often reduced as much as one half. However, districts receiving ESAA grants were not required to revise participant counts. As a result, no systematic procedures have been established to count participants. Attempts to enumerate ESAA project participants encounter conceptual problems in defining participants and, in the absence or unreliability of data, describing the

population served. A major difficulty is found in determining whether participant counts submitted by districts are unduplicated counts or counts for each individual component. For example, a student may be served by separate compensatory math, compensatory reading, and enrichment components within the same project. The district may count the number of participants served by each component and present the sum as the total number of project participants (a duplicated count).

The enumeration of participants in human relations, curriculum development, or in-service training projects presents additional problems. Human relations activities may serve a small number of students directly, but have spillover effects in the whole school or community. The district may report that many more pupils, staff, or community members are affected by the project than may actually experience direct contact with the project. Similarly, curriculum development projects may be staffed by three or four teachers but provide curriculum packages to all teachers in a school or district. In-service training may serve ESAA funded and other teachers at yearly, monthly, or weekly intervals.

An attempt was made to collect reliable participant information through a direct survey of the case study districts. Figure 5.2 presents the number and percent of ESAA project participants. The pupil participant count in Bentham represents the maximum number of pupils that attended the ESAA compensatory program. A smaller number (195) transferred into the magnet schools. The 3,500 pupil participants served by the CSD A project include both those enrolled in the compensatory program and those directly served by the human relations teams. Although there may be some double counting of children served by the compensatory and human relations components, CSD A does not count all children enrolled in the schools served by the human relations teams. The Maxwell statistics reflect numbers reported to the Regional ESAA office in January of 1977. The 997 pupils served by the Basic project include all children in the program and does not separately identify those who transferred into the magnet school. The two magnet school projects, Maxwell (Basic) and Bentham, served the smallest percentage of the districts' pupils. Harbortown served the highest percentage.

Figure 5.2

NUMBER AND PERCENT OF ESAA PARTICIPANTS:
CASE STUDY DISTRICTS - FY 1976

	Pupils	
BASIC PROJECTS	Number	Percent of Total Enrollment
Bentham, NJ	854[a]	2.3
CSD A, NY	3,530	14.0
CSD B, NY	1,200	6.0
Harbortown, NY	1,500	20.0
Maxwell, NY	713	1.7
PILOT PROJECTS		
Burnham Park, NJ	221[a]	5.6
Sheffield, NJ	7,000	9.0
Maxwell, NY	1,423	3.3

[a] There is a possibility of double counting.

See Appendix for sources and definitions.

Meaningful comparisons of project participants across districts are difficult. Some projects, such as the Sheffield Pilot project, serve all pupils and staff in the school population for a limited period. Others, such as Harbortown or Burnham Park, provide a year-long compensatory program for selected pupils or teachers. Other projects, originally scheduled for a full year, may be delayed. The actual program implementation period, as in Bentham, can be weeks to several months less than defined in the grant award.

Project Costs

Costs Per Pupil

One way to examine project costs is to compare the targetting of ESAA funds to districts on the basis of the total number of pupils and of minority pupils in the district. With the exception of CSD A, there was little difference in desegregation related need among the case study districts. If the grant was related to desegregation related need, the CSD A project would receive the larger grant per pupil. The grant per pupil received by the other case study projects would be similar and less than that received by the CSD A project.

Minority enrollment, included in the ESAA state apportionment formula and in the statistical score, may also be considered a measure of desegregation need. Districts with a larger minority enrollment may experience more community resistance when attempting to reduce minority isolation. If the ESAA grant a district receives is related to minority enrollment, the grant per minority pupil should be similar across districts.

The data in Figure 5.3 suggest that the targetting of ESAA funds is not related to either total or minority enrollment. The grant dollars per pupil and per minority pupil were highest in Harbortown, the small suburban district which desegregated voluntarily in 1963. Harbortown's grant was almost 2.5 times as much in both costs as the next highest district, CSD A, which has been implementing a court-ordered, mandatory re-assignment plan since 1975.

Figure 5.3

TWO ALTERNATIVE METHODS FOR DEFINING SIZE OF ESAA AWARD: CASE STUDY DISTRICTS - FY 1976[a]

	ESAA GRANT ROUNDED TO DOLLARS	
BASIC PROJECTS	Per Pupil Enrolled in the District	Per Minority Pupil Enrolled in the District
Bentham, NJ	$26	$ 35
CSD A, NY	38	115
CSD B, NY	18	18
Harbortown, NY	96	198
Maxwell, NY	18	36
PILOT PROJECTS		
Burnham Park, NJ	29	46
Sheffield, NJ	13	14
Maxwell, NY	17	33

a/ ESAA grant dollars and numbers of total pupils and minority pupils were obtained from ESAA program records.

See Appendix for sources and definitions.

Another method for assessing project expenditures is to compare the dollars allocated per participant with the dollars allocated per participant of a similar program, Title I ESEA. The comparison shown in Figure 5.4 compares the ESAA and Title I grant dollars per participant received by the district. The comparison shows that the Harbortown Basic and Burnham Park and Maxwell Pilot projects that supported primarily compensatory education activities were comparable in dollars allocated per participant to the districts' Title I, ESEA project.

The two magnet school projects, the Bentham and Maxwell Basic projects, allocated nearly twice as many dollars per participant as the Title I, ESEA projects. The lowest dollar allocation per participant was found in the Sheffield Pilot project that served all of the district's fifth grade pupils for two weeks in the school year.

A comparison of actual expenditures per participant is not possible because of three factors:

1. the variation in projects and components;
2. the limitations of available data on number of student participants; and
3. the difference between grant dollars received and grant dollars expended over varying time periods.

The first two factors have been discussed previously. Figure 5.5 shows the disparity between the grant award and amount expended. In the five case study projects that failed to spend all of the grant funds within the original period of the contract, the dollars allocated did not equal those actually spent during the project year. One district, Maxwell, received six-month extensions of both its Basic and Pilot grants to December 31, 1977. During the extension, Maxwell spent 10 percent of the Basic and 12 percent of the Pilot projects' budgets on activities designed to meet the objectives of the FY 76 grant that had not been accomplished by the end of the grant year. Only Burnham Park spent the full award during the project year defined in the original grant contract.

Figure 5.4

A COMPARISON OF THE DOLLARS ALLOCATED PER PARTICIPANT IN CASE STUDY DISTRICTS TITLE I, ESEA AND ESAA PROJECTS - FY 1976[a/]

	Dollars per Participant Allocated for the FY76 Project[b/]	
Basic Projects	Title I, ESEA	ESAA
Bentham, NJ	$517	$1,104
CSD A, NY	N/A[c/]	265
CSD B, NY	N/A[c/]	319
Harbortown, NY	435	489
Maxwell, NY	597	1,087
PILOT PROJECTS		
Burnham Park, NJ	552	513
Sheffield, NJ	378	135
Maxwell, NY	597	501

a/ Title I and ESAA grant dollars were obtained from Title I and ESAA program records. Title I participant counts were obtained from district Title I eligibility reports; ESAA participant counts were obtained in interviews with ESAA project staff.

b/ This table shows the dollars per project participant received by the district. Dollars actually expended per participant may differ. For example, 5 of the 8 ESAA projects failed to spend all of the grant funds within the grant year.

c/ Title I dollars per participant are not available for New York City.

Figure 5.5

PROPORTION OF GRANT EXPENDED DURING PROJECT YEAR AND FINAL DISPOSITION OF GRANT FUNDS: CASE STUDY DISTRICTS - FY 1976

BASIC PROJECTS	Percent of Grant Expended During Project Year	Percent of Grant Returned to U.S. Treasury	Percent Extended	Date of Extension
Bentham, NJ	53	47		
CSD A, NY	99	1		
CSD B, NY	99	1		
Harbortown, NY	96	4		
Maxwell, NY	90		10	12-31-77
PILOT PROJECTS				
Burnham Park, NJ	100	0		
Sheffield, NJ	93	7		
Maxwell, NY	88		12	12-31-77

See Appendix for sources and definitions.

Cost by Budget Categories

ESAA projects budget grant dollars in three categories: staff salaries and fringe benefits, materials and supplies, and equipment or facility leasing. The major expenditure across the projects was for teachers and other personnel-related expenditures. Figure 5.6 shows categories of ESAA staff hired for the case study districts. Most teachers and aides hired by ESAA Basic and Pilot projects served in the compensatory education components.

The other major budgeted expense supported by ESAA funds was for materials and supplies. The scope of work and the budget, however, provided little reliable information on actual purchases made by the ESAA project. Typically, requested amounts for materials were presented as a total sum in the budget document and listed in the application narrative. When these sums were reduced during administrative budget reviews, there was no indication as to which of the listed items were not funded. Districts, then, have much discretion as to how these funds will be used. Also, when a district does not spend all of its grant, as occurred in Bentham, it is not required to submit any revised statement of what materials or supplies were actually purchased. Bentham's projected budget for materials and supplies was $379,593. No further information was available to show how much of this sum actually spent was used for materials.

Harbortown's project allocated approximately equal amounts for staff salaries and equipment leasing. The Harbortown ESAA project leased 80 computer terminals to be used at the five project site schools. ESAA also supported the maintenance agreement for the terminals and the purchase of software packages. In addition to the $310,040 to support the computer costs, ESAA also provided Harbortown with $15,000 in other materials and supplies.

The Sheffield project allocated $276,899 of its grant for rental, maintenance and utilities at the site of the outdoor education project. An additional $204,900 was scheduled to be expended on pupil transportation to the site. Sheffield budgeted almost 50 percent of its grant on these items.

Figure 5.6

STAFF POSITIONS FUNDED BY ESAA: CASE STUDY DISTRICTS - FY 1976

BASIC PROJECTS	Compensatory Reading or Math	Enrichment[a]	Human Relations	Staff Training	Administration[b]
Bentham, NJ	6 Teachers 2 Aides		3 Specialists 2 Aides		4 Staff Positions
CSD A, NY	11 Teachers 1 Aide		5 Coordinators 13 Half-time Teachers		1 Aide HR Coordinator
CSD B, NY	14 Teachers				2 Supervising Teachers
Harbortown, NY	1 Half-time Psychologist 2 Learning Facilitators 2 Teachers 40 Assistants 1 Lab Specialist				1 Coordinator
Maxwell, NY	9 Teachers 4 Aides	10 Teachers	4 Specialists 2 Aides 2 Psychologist	1 Supervisor 3 Teachers	1 Half-time Coordinator
PILOT PROJECTS					
Burnham Park, NJ	6 Teachers 2 Aides				1 Coordinator
Sheffield, NJ	3 Teachers	8 Teachers	3 Teachers 2 Social Workers	3 Teachers	1 Administrator 3 Administrative Support 1 Transport Coordinator
Maxwell, NY	9 Teachers	9 Teachers			1 Half-time Administrator 1 Half-time Evaluator

[a] Includes gifted and talented programs, programs in fine arts, foreign languages, outdoor education, and environmental education programs.

[b] For Basic projects this includes clerical staff consultants; for Pilot projects this includes site rental, transportation plus teacher stipend for extended day service.

See Appendix for sources and definitions.

The Advisory Committee

The regulations require Advisory Committee participation in ESAA projects to provide a mechanism to develop community support for the project. In the seven districts the contribution of the Advisory Committee to project implementation varied according to the length of time each district had received a grant. Not unexpectedly, districts with first year grants experienced the most difficulties in determining a role for the Advisory Committee.

In the two districts implementing first year grants, the Advisory Committee members spent the first months defining the project implementation process and recruiting new members. Members of the Maxwell Advisory Committee had approved the application but had little role in the project design. Maxwell Committee members were unsure of what the Committee could do as late as December of the project year. The acting chairperson expressed a desire for a copy of the ESAA regulations governing Advisory Committee responsibilities but appeared unable to determine how the regulations could be obtained. By June, however, the Committee had assigned themselves to monitoring, recruiting, and program subcommittees.

Bentham's Committee members had made no contribution to the development of the program included in the application but, subsequent to its implementation, made suggestions about student transportation to magnet school sites and about new school sites, and observed in the magnet schools.

Other districts reported difficulties in starting and maintaining Advisory Committees. CSD A, a district with much inter-racial tension and overt conflict, had difficulty in recruiting minority members, especially Puerto Rican parents. A core of members, however, could be counted on to monitor the ESAA project in the schools. CSD B, located in an economically depressed area, found difficulty in recruiting members of the Committee and saw a drop in attendance at meetings once it was announced that the district would no longer be eligible for ESAA funding.

Three districts, which had projects for three or more years, had developed active Advisory Committees. In Burnham Park, the Advisory Committee was used to create

community approval for the project. Harbortown's Advisory Committee members were paid by ESAA funds to serve as project monitors. They observed ESAA funded activities at each of the project schools and reported their findings and recommendations at their monthly public meetings. Sheffield's Advisory Committee began its existence as a group of concerned citizens who were searching for a source of funds which would provide educational programs at the outdoor campsite. After the ESAA award was granted, the Advisory Committee continued to play an active role in project implementation, often using the political and social contacts of its members to smooth over whatever administrative difficulties the project might have with school board or other school administration officials.

If secondary schools are included in project activities, the district is required to establish Student Advisory Committees at each secondary school site. Only two of the case study projects implemented a component in the secondary schools. CSD A established Student Advisory Committees in each secondary school under the general sponsorship of the human relations team. These Committees worked with the district Advisory Committee to design programs and special events for the schools. Although Maxwell implemented components in two secondary schools, there was no evidence of a Student Advisory Committee.

The Impact of the Act, Regulations, and Administrative Procedures on Project Implementation

This section will show how the Act, regulations and administrative procedures, particularly monitoring and post-award technical assistance, affect project implementation.

Implementation Problems

The Act and regulations provide a one-year grant period for each ESAA grant and allow a district to be notified of its grant as late as September 30th of the year in which it is to be implemented. These two factors combined to cause implementation problems in all of the case study projects. This section discusses five categories of implementation problems: recruitment and retention of staff, recruitment and selection of students, receipt of materials and supplies, delays in component implementation, and failure to spend the entire grant award. These problems are displayed on Figure 5.7.

Recruitment and Retention of Staff

Case study districts reported the following problems in recruiting and retaining staff:

- unwillingness of veteran teachers who had established building seniority to transfer to one-year programs without assurances that they could return to former schools if the project were not funded in subsequent years (Maxwell, Basic and Pilot projects; CSD A);
- loss of project staff in mid-project when tax levy-supported jobs which had more stable funding became available (CSD A); and
- difficulty in hiring staff specialists in the short period between official notice of the grant award and the project starting date (Maxwell Basic and Pilot; Bentham).

Maxwell, CSD A, and Bentham reported that the timing of the ESAA award hindered acquisition of qualified staff. Because ESAA funds were received late in the summer, the projects were often staffed with available teachers left on seniority lists who may not be qualified

Figure 5.7

PROBLEMS IN PROJECT IMPLEMENTATION: CASE STUDY DISTRICTS - FY 1976

BASIC PROJECTS	Staff Recruitment	Student Recruitment	Receipt of Materials and Supplies	Delays in Components	Failure to Spend Entire Grant Award
Bentham, NJ	•	•	•	•	•
CSD A, NY	•				•
CSD B, NY		•	•		•
Harbortown, NY					•
Maxwell, NY	•	•	•	•	•[a]
PILOT PROJECTS					
Burnham Park, NJ		•		•	
Sheffield, NJ					•
Maxwell, NY	•	•	•	•	•[a]

[a] Maxwell Basic and Pilot received a six-month extension.

See Appendix for sources and definitions.

for the ESAA staff positions. CSD A chose to delay implementation of the project rather than accept an unqualified teacher.

All the staff positions in the Bentham project had to be advertised, and the Project Director was required to interview all eligible applicants. This meant further delays in the implementation of a project which officially was notified of its grant on September 29 of the school year for which it was granted.

Recruitment and Selection of Pupils

Five of the projects experienced delays in recruiting pupils. Burnham Park's application had scheduled pre-testing of participants in the first weeks of the summer. Because the ESAA grant was received in August, Burnham Park administered tests to selected project participants in the first weeks of school. Delays in receipt of testing materials resulted in similar delays in pupil selection in CSD B.

The most severe delays occurred in the two magnet school projects, Maxwell Basic and Bentham, and in the Maxwell Pilot project. ESAA staff in the two magnet school Basic projects had to complete two pupil recruitment and selection tasks. First, they had to recruit children of the appropriate race to transfer into the magnet schools. Second, if the transfer effort failed to fill all openings in the magnet school project, they had to select children already enrolled in the magnet school sites or in non-public schools to fill openings in the project.

Maxwell and Bentham adopted two different strategies for student recruitment. Maxwell's ESAA staff chose to implement the project at the opening of school. Bentham delayed project implementation until the second semester. In Maxwell, a human relations component was quickly organized to recruit pupils. The human relations teams immediately launched a media campaign to inform parents of the availability of the project. Despite the media campaign, both the Maxwell Basic and the Maxwell Pilot projects were unsuccessful in obtaining children to fill available pupil openings in all of the project components. ESAA teachers then attempted to recruit students among those enrolled in the project

schools. District reports show an increasing number of project participants at the elementary level once parents, school staff, and pupils observed the project.

Recruitment efforts were least successful at the junior and senior high schools served by the Basic project. At secondary levels, students were scheduled for classes in the spring of the preceding year. The guidance counselors at these schools, struggling with a heavy load of schedule changes in September, were unwilling to undertake the additional task of recruiting for the ESAA project. Additionally, the regular school staff were hostile to the new project because they believed that the newly hired ESAA teachers replaced regular school staff. Newly hired ESAA teachers and staff, without extensive pre-service orientation, found it difficult to describe the project. Pupils elected ESAA classes believing that they would be allowed to transfer freely between ESAA components in drama, dance, or graphic arts. The students believed they could select the type of art instruction they would receive. As a result of these difficulties at the high school, the two compensatory reading instructors had as few as two pupils in a class and estimated that they had only 50 students over the year.

Bentham chose to begin classroom implementation of its grant in the second semester of the 1976-77 school year. This delay allowed time to remodel the classrooms to be used as High Intensity Learning Centers (the model for the compensatory component), hire staff, and recruit pupils. Bentham ESAA staff had designated the three sites where the learning centers would be installed as receiving schools and had selected 12 sites as sending schools. If a receiving school had an enrollment of predominantly one race, only schools with predominant enrollments of the other race were selected as its sending schools. Human relations teams were organized and sent to the designated sending schools. The ESAA Non-Profit Organization (NPO) in Bentham was enlisted to recruit pupils. Despite these efforts, only 195 of the 854 places in the magnet school sites were filled by transfer students. The empty places in the learning centers were filled by students already enrolled at the magnet school sites, or by students from non-public schools.

Receipt of Materials and Supplies

Four of the eight projects reported that materials, supplies, and other non-staff resources included in the project budget were never purchased or were delivered after dates established in the application narrative. In Bentham, installation of the High Intensity Learning Centers was delayed because the ESAA project shared labor crews with all other district repair and maintenance tasks. All materials purchased by the project had to be procured through a competitive bid system established by the city purchasing department. When the process was completed, deliveries were scheduled for late spring. In Maxwell, most materials and supplies ordered by teachers in both projects were never filled. In the Maxwell schools where the staff were supportive of the project, principals and teachers "loaned" materials to the ESAA staff. Some veteran teachers arranged similar loans from former principals or supervisors. Most staff used their own money or canvassed city businesses.

Delays in acquisition of materials were not limited to first-year projects. CSD B's diagnostic testing materials, scheduled for use in selecting project participants and designing individualized study plans, did not arrive until December. Until the receipt of these materials, CSD B ESAA staff used materials they prepared themselves for testing and bilingual instruction.

Delays in Component Implementation

Four projects reported delays in one or more project components. Burnham Park eliminated one of three compensatory reading component models when an instructor became ill. In Bentham, the human relations component had been added in last minute budget negotiations with ESAA program officers. Only position descriptions for the human relations team were included in the scope of work. Once hired, the human relations team had to develop an entire component description including objectives, activities, and pupils to be served.

The language development component in Maxwell's Basic project was delayed for two months while its curriculum was being developed, a task which had been scheduled for the summer preceding the grant year. As a result, the language development component did not provide services to pupils until November of 1976. The Maxwell Basic and Pilot projects shared a staff development component that

was postponed from summer pre-service to in-service training. This rescheduling had some benefits, as ESAA in-service training staff were given an opportunity to provide continuous training to ESAA staff. However, the absence of any pre-service training in the first-year projects had a negative impact on all aspects of the projects, particularly in recruiting pupils (as described above).

Failure to Spend the Entire Grant Award

Five of the eight projects expended ninety percent or more of the ESAA funds received during the project year. Figure 5.8 displays the amount of the grant not expended during the project year and the final disposition of grant funds. The highest disparity between grant dollars received and grant dollars spent was in the Bentham Basic and Maxwell Basic and Pilot projects. The Bentham and Maxwell Basic projects share two common features: (1) they were first-year projects, and (2) they were magnet school projects. The Maxwell Pilot project was also a first year project. All three projects did not spend large portions of the grant dollars during the project year and experienced all four implementation problems discussed above.

Each district's approach to overall project implementation is reflected in the pattern of expenditures. Maxwell's effort to put project components in the schools for the fall term resulted in most staff, the largest expenditure in the Maxwell project budget, being hired by September. Delays in recruiting pupils or in implementing the language component did not reduce project expenditures as the staff salaries were paid independent of pupil recruitment. Delays in acquiring supplies did reduce project expenditures, but only by a small percentage of the total grant. The delay in implementing the in-service training component did not decrease project costs, as money allocated for staff salaries for pre-service training was used to pay substitute teachers while ESAA teachers attended in-service training sessions. The excess funds in the Maxwell budget that were not expended in the project year were perhaps the result of an administrative budget review performed by Washington EEOP officials who were less familiar with realistic costs in Maxwell.

Figure 5.8

A COMPARISON OF GRANT AWARDS TO GRANT AMOUNT
RETURNED OR EXTENDED: CASE STUDY DISTRICTS - FY 1976

BASIC PROJECTS	Grant Received	Grant Amount Returned (R) or Extended (E)
Bentham, NJ	$942,809	R - $438,717
CSD A, NY	933,902	R - $8,000
CSD B, NY	383,364	R - $3,000
Harbortown, NY	732,888	R - $27,000
Maxwell, NY	774,726	E - $76,947
PILOT PROJECTS		
Burnham Park, NJ	113,300	R/E - None
Sheffield, NJ	946,092	R - $69,000
Maxwell, NY	713,554	E - $84,816

See Appendix for sources and definitions.

Bentham, on the other hand, chose to delay classroom implementation and the hiring of staff until the grant year was half over. This decreased the total grant expenditures by half.

The differences between grant dollars received and those expended appears generally unrelated to implementation problems or the number of years the district had received an ESAA award in past years. The Sheffield and Harbortown projects, which reported no significant implementation problems, returned a sizeable portion of their funds to the U.S. Treasury. In Sheffield and Harbortown, the dollars returned reflected actual staff salaries below those projected in the project budget or acquisition of required materials below projected costs in the project budget. In CSD A and CSD B, some of the disparity between dollars received and dollars spent also reflected differences in actual and projected costs for staff or other resources.

Coordination with Other Federally Funded Projects

ESAA regulations require that Basic and Pilot projects be coordinated with each other and with other projects supported by Federal funding sources. Program officers who perform budget reviews for ESAA make efforts to ensure that Basic and Pilot projects do not supply duplicate services to students. Because there are no clearly defined guidelines to ensure coordination, ESAA projects and many of the other Federally funded programs overlap in their objectives, activities, and students served.

Basic and Pilot Projects

ESAA requires only that ESAA Basic and Pilot projects provide services to different students. Because the same program components may be applicable to the objectives of the Basic and Pilot programs, ESAA Basic and Pilot projects in the same district often support similar programs. In two of the case study districts, Burnham Park and Maxwell, Basic and Pilot programs funded projects that were similar. In CSD B, however, the two projects were completely different. Figure 5.9 displays all the ESAA awards received by the seven case study districts.

Figure 5.9

SUMMARY OF ESAA GRANTS RECEIVED: CASE STUDY DISTRICTS - FY 1976

BASIC PROJECTS	Basic	Pilot	NPO
Bentham, NJ	X		•
CSD A, NY	X		
CSD B, NY	X	•	
Harbortown, NY	X		•
Maxwell, NY	X	X	•
PILOT PROJECTS			
Burnham Park, NJ	•	X	•
Sheffield, NJ		X	
Maxwell, NY	X	X	•

X = Case Study Project

• = Other Grant Received from ESAA

See Appendix for sources and definitions.

Burnham Park's Basic project provided compensatory components to schools receiving children under the district's desegregation plan. These components were similar to those provided by the Pilot project. (In addition to the compensatory components, the Basic project also provided a Saturday school for non-academic subjects and an artist-in-residence program.) Maxwell's Basic and Pilot projects were essentially the same. The objective of the Basic, however, was to attract white students into minority isolated schools; the objective of the Pilot was to provide academic enrichment to students in minority isolated schools. The Maxwell Pilot included an all-day kindergarten component not provided in the Basic. CSD B's Basic project offered an academic enrichment project, similar to Sheffield's Outdoor Education Program, at a campsite.

Title I, ESEA

The efforts to coordinate ESAA projects with Title I, ESEA resulted in the coordination of programs but not in unique projects for these reasons:

- Both ESAA and Title I, ESEA authorize compensatory activities.
- Schools eligible for ESAA are often eligible for Title I, ESEA.

With the exception of certain human relations activities, ESAA provided few unique services to districts. In the case study districts, the ESAA projects were the sole outside source of only three activities: programs to improve inter-group relations among students, extracurricular activities geared to minority students, and gifted and talented programs. The activities most often funded by ESAA were also funded by Title I. These activities were remedial programs, in-service training, and teacher workshops.

In all the case study districts, there was overlap in the schools served by ESAA and Title I, ESEA. Since all schools in Harbortown and CSD B have Title I programs, all schools receiving ESAA funds also have Title I programs. Similarly, because the Sheffield ESAA program serves all fifth graders, the project serves all schools receiving Title I which enroll fifth grade pupils. In Maxwell, both the Basic and Pilot projects were targetted on predominantly minority schools with high concentrations of economically disadvantaged children. As a result, nine of

the ten schools served by the two ESAA projects also received Title I funds. In Bentham, CSD A, and Burnham Park, there was less overlap between the schools served by Title I, ESEA and by ESAA. Figure 5.10 displays the number and percent of schools receiving both Title I, ESEA and ESAA in each case study district.

Although ESAA projects provided similar services and often served the same schools as Title I, they did not generally serve the same target groups. The major example cited by most ESAA project staff was the coordination of ESAA and Title I compensatory programs. Title I provided services only to the "neediest of the needy" children in schools which were eligible for Title I services. In these schools ESAA served children who were above the achievement score standard established for Title I eligibility, but who still required compensatory education. In schools not eligible for Title I, ESAA served all levels of children requiring compensatory education.

In two districts, CSD A and Harbortown, ESAA and Title I were coordinated to provide integrated compensatory education. The Director of Funded Programs in CSD A reported that Title I, ESEA projects contributed to minority isolation within the school. Although there were varying achievement levels among children of all racial groups, the selection procedures for Title I resulted in isolated classes of minority children. The Director of Funded Programs in CSD A jointly funded Title I and ESAA teachers so that ESAA and Title I students could be placed in the same classrooms. This procedure allowed CSD A to avoid all-minority classes in desegregated schools. Harbortown's use of computer labs and procedures to individualize instruction allowed the district to avoid separation of students according to funding source or ability group.

Project Monitoring and Post-Award Technical Assistance

Monitoring should result in the detection of problems that might prevent the project from reaching its objectives. Technical assistance should provide the means for solving these problems. In the case study districts, however, post-award procedures of the Regional office were limited by three factors:

Figure 5.10

NUMBER AND PERCENT OF SCHOOLS SERVED BY ESAA AND TITLE I:
CASE STUDY DISTRICTS - FY 1976

	Number of Schools Receiving ESAA	Percent of Schools Receiving ESAA	Percent of ESAA Schools Also Receiving Title I
BASIC PROJECTS			
Bentham, NJ	3	10	33
CSD A, NY	8	33	25
CSD B, NY	6	22	100
Harbortown, NY	5	71	100
Maxwell, NY	10	17	90
PILOT PROJECTS			
Burnham Park, NJ	3	75	33
Sheffield, NJ	42	84	83
Maxwell, NY	10	17	90

See Appendix for sources and definitions.

- an inadequate reporting system;
- the absence of OCR in post-award monitoring; and
- the absence of meaningful technical assistance and program sanctions.

The Reporting Requirements

Although ESAA requires that each district file three categories of reports, these reports do not serve the district as a means of self evaluation or provide the ESAA program monitors with the necessary information to detect any problems. The reports are:

- Program Progress Reports (PPRs), a quarterly comparison of the actual dates of implementation of key events with the dates proposed in the application narrative;
- Financial Status Reports including quarterly and final reports of disbursements of ESAA funds; and
- A report summarizing the results of the ESAA project evaluation.

The PPRs and evaluation reports were a source of uncertainty and frustration for the individuals responsible for their completion. The uncertainty was reflected in the wide range of information presented by districts and in the changes in content and format in the information presented during the grant year.

The content of the PPRs varied among districts and was the result of differing perceptions of ESAA requirements and decisions of the individuals preparing the reports. Bentham and CSD B provided brief reports listing the major events and the dates on which they occurred. Maxwell supplemented their reports with voluminous attachments including the minutes of Advisory Committee hearings, materials prepared by the ESAA project, logs or worksheets prepared by human relations teams, and interim evaluation findings. Sheffield submitted an alternative PPR form indicating numbers of pupils served. Variations among reports submitted by the same project director also reflected changing perceptions of both ESAA requirements and of the information likely to provide a favorable

impression of the project. The first and second Maxwell PPRs presented actual logs maintained by recruiting teams and statistics on project participants. The later reports briefly summarized project activities and provided no statistical information on enrollment. Sheffield began by reporting the number of pupils meeting project objectives as measured by the tests administered at the conclusion of the two-week session. When the first results for one objective showed little effect on project participants, Sheffield requested permission to change the evaluation procedures.

District personnel who complete the quarterly and final financial reports need not have any knowledge of the ESAA project or its progress. These reports were merely descriptions of project expenditures and were usually prepared in the district's budget office. The Community School Districts in New York City did not have the authority to disburse funds; the New York City Central Board budget office prepared the ESAA financial reports.

ESAA regulations and administrative procedures do not define either the content or the format of the evaluation design. The regulations do not define the criteria that should be used to measure project effectiveness. Therefore, there was wide variance among districts on evaluation procedures and the information reported to USOE. All of the evaluation reports filed by the case study districts were missing at least one of the following necessary to assess project effectiveness:

- an evaluation of each project component;
- a complete statement of the evaluation design including criteria used to assess project outcomes, the standards used to determine success or failure, the instrumentation and the evaluation population; and
- a clear and interpretable statement of evaluation results.

Compliance with ESAA Regulations

Although ESAA regulations and administrative procedures define a role for OCR in monitoring district compliance with ESAA regulations and civil rights standards, ESAA program officers performed whatever monitoring occurred.

Only one case study district, Maxwell, had difficulty in maintaining compliance with civil rights standards. A review by ESAA program officers of recruitment procedures determined that the Maxwell human relations team had not distinguished between the Basic and Pilot projects. The recruiters had not focused their efforts on attracting white pupils for the magnet programs nor had they recruited pupils already enrolled at the Pilot sites for Pilot programs. The effort to recruit white children into Basic schools in Maxwell had no success. The absence of any differentiation between the Basic and Pilot projects increased minority isolation at one Basic school when a few minority students who had been attending other schools under the district-wide Open Enrollment program returned to the Basic school to enroll in the attractive programs.

In a letter to Washington EEOP, Regional program officers identified five areas in which Maxwell had failed to meet the terms and conditions of the grant award. The program officers recommended the withdrawal of the Basic grant until those conditions could be met. Washington EEOP did not concur with the recommendation of the Regional office and the grant was not rescinded. Although student recruitment was made more difficult for the spring semester by the uncertainty of continued funding, Maxwell made no changes to the conduct of the FY 76 project. As a result of the Central EEOP decision not to withdraw funds from Maxwell, Regional program officers and Maxwell ESAA staff became convinced that the program had no effective method of enforcing its sanctions during the one year implementation of the grant.

The Content of Monitoring and Technical Assistance

In all the case study districts except Maxwell, the contributions of program officers to project implementation and compliance with ESAA civil rights requirements were perceived as either minimal or non-existent. Maxwell program officers uncovered evidence of non-compliance with civil rights terms and conditions of the grant in one site visit. Their

monitoring had a negative effect on project implementation without producing compliance with ESAA civil rights compliance standards. A second site visit to the district was made later in the year by a program officer who showed no awareness of any non-compliance difficulties the district might have had.

All of the ESAA project staff responsible for liaison with Regional office program staff reported that the district was informed in advance of the site visits and of the objectives of the visit. They viewed the primary objective of the site visit team as monitoring project implementation. Five directors also believed the program officers monitored compliance with civil rights conditions of the grant award. In five districts, ESAA project staff reported the site visits were uneventful. ESAA program officers were believed to be pleased with the way the project was operating and offered only minor suggestions for any changes in the project components or general administration. In Bentham, the project director did not recall any site visits once the project had been implemented. She did, however, recall that ESAA program officers had encouraged the district to implement the program as quickly as possible. No other specific suggestions were received. The district was not told that failure to meet the project schedule would result in possible loss of funds.

Technical assistance also made little positive impression on the districts. Most of the technical assistance offered to districts concerned administrative procedures involved in preparing program or budget modifications or extensions.

Although all but one project did not expend the full grant allocation, only three projects, CSD A and Maxwell's Basic and Pilot, requested an extension. CSD A's request for permission to use $16,000 in unexpended funds to develop replication packets for community activities was denied by GPM although the ESAA program office had approved it. CSD A's letter requesting the extension noted that all project objectives had been met. The GPM office concluded that replication, therefore, was a new task beyond the scope of the grant award.

Maxwell requested extensions for both Basic and Pilot grants. Although the Director of Funded Programs had four years experience in preparing ESAA applications, the FY 76 projects were his first funded projects. He requested and

received technical assistance in preparing what proved to be a successful request for an extension to prepare replication packages for the Basic and Pilot project components that would not be included in the FY 77 project, and to continue some components whose objectives had not been met at the end of the original grant year.

Despite the fact that Bentham had expended less than half of its FY 76 grant, the district did not apply for an extension. The project director reported that Bentham's staff were not aware an extension was possible until late in the spring. ESAA program staff encouraged Bentham to apply for an extension of the grant, suggesting the project for FY 77 could be funded by $400,000 of extension money and $500,000 of FY 77 funds. This would allow full utilization of the FY 76 grant and allow the FY 77 allocation to fund one or more other ESAA projects in New Jersey. Bentham refused to request the further extension because it required that the $400,000 be used to meet the same objectives as the FY 76 project. Believing that this would limit the district to serving the same schools and children as the FY 76 project, Bentham decided to return the $400,000 and received a new grant of $880,972 for FY 77.

Summary of Findings

This chapter has compared the impact of the Act, regulations and administrative procedures and district characteristics on the content and implementation of the eight case study projects. The major findings are:

- the case study projects has little relationship to desegregation;
- the program does not collect the necessary information to describe the projects accurately;
- Advisory Committees do not play a significant role in project implementation;
- the one-year grant period and notification of the grant award as late as September 30th of the school year in which the grant is to be implemented cause problems for the districts in project implementation;
- the two Basic projects that attempted to reduce minority isolation through the implementation of magnet school projects did not achieve the number of transfer students projected in the project application;
- regulations requiring coordination with other Federally funded projects do not establish guidelines to ensure coordination;
- program officer monitoring has little impact on the conduct of projects;
- program requirements for progress and other reports to be filed by the district are not specific enough to be of value either to the district or program monitors;
- OCR does not monitor projects once an award has been granted;
- neither the Act nor the regulations define the criteria that should be used to measure project effectiveness; and
- the evaluation reports provide insufficient information on which to judge project effectiveness.

APPENDIX

I. Sources

1. 1968-1972: Office for Civil Rights Elementary and Secondary School Survey (District and School Files), DHEW, Office for Civil Rights.

2. 1973-74: Equal Employment Opportunity Commission Elementary and Secondary School Survey (District and School Files).

For complete data base documentation for OCR (1968-1972) and EEOC (1973-1974) refer to:

School Desegregation Data Base
Documentation 1968-1974

March 1977
Department of Health, Education, and Welfare
Office of the Assistant Secretary for Planning
and Evaluation
Education Division
200 Independence Avenue, S.W., Room 408 F
Washington, D.C.

3. New Jersey Tape:

Enrollment data 1973-74 and Racial/Ethnic data 1975-76 from:

New Jersey Educational Computer Network, Inc.
Administrative Data Processing
P.O. Box 390
New Brunswick, N.J.

4. New York Tape:

Basic Education Data System School data: Fall 1973, 1975 from:

Information Center on Education
Bureau of Educational Data System
The University of the State of New York
State Education Department
Albany, New York

5. The New York Pupil Evaluation Program
The University of the State of New York
State Education Department
Bureau of Pupil Testing and Advisory Services

6. ESEA Title I Poverty and Education Data, 1974-75, May 1974 Appendix 9

7. CEMREL, Inc.
A National Educational Laboratory
ML-Group for Policy Studies in Education
Chicago, Illinois

CEMREL merged data from:

a. ELSEGIS 1975-76 Local Public School System Universe File (From NCES);

b. Special Tabulation NIE School District 1970 Census Poverty measures file;

c. District-level Title I 1975-76 fund allocation data collected by CEMREL, Inc. (gathered directly from States' Title I Coordinator offices).

8. ESAA Program Data

a. ESAA Grant Proposals submitted to the Office of Education, FY 1976 and 1977

b. Office of Education Forms #139, "ESAA Application Rating/Staff Technical Review Summary and Recommendation," FY 1973-77

c. Office of Education Forms #241-4, "Educational Quality Rating Panel Review Summary," FY 1976-77

d. Office of Education Basic and Pilot Grant Decision Memos, Spring and Summer 1977

e. Office for Civil Rights, Letters of Findings of Title VI Ineligibility, FY 1976

f. Title I Target Comparability Reports, Fall 1976

II. Sources and Definitions by Data Item

Data Item	Source	Definitions
1. Enrollment 1968-72 NJ and NY	OCR Survey	"Minority" is defined to include Indian, Black, Asian, and Spanish-speaking.
2. Enrollment 1973-75 NJ	NJ Tape	In 1973, "minority" is defined to include Negro, Puerto Rican, Cuban, other Spanish-speaking, American Indian, and Oriental pupils. In 1975, "minority" is defined to include American Indian, Oriental, Black, and Spanish-American pupils.
NY	NY Tape	In 1973 and 1975, "minority" is defined to include American Indian, Negro, Oriental, Spanish-American, and other minority pupils.
3. Enrollment 1976-77 NJ and NY	ESAA Grant Proposals	"Minority" is defined to include American Indian, Negro, Oriental, Spanish-surnamed, Portuguese, Alaskan Native, Hawaiian Native, and other minority pupils.
4. Staff Data 1974 NJ and NY	EEOC 1974	"Staff" is defined to include elementary, secondary, and other classroom teachers.
5. Staff Data 1976-77 NJ and NY	ESAA Grant Proposals	"Staff" is defined to include principals, full-time classroom teachers, and head coaches.

6. Economically Disadvantaged Data NJ and NY	ESEA Title I Poverty and Education Data CEMREL Tape	The percent of economically disadvantaged pupils in NJ and NY (excluding the Community School Districts in NYC) is the percent of children aged 5-17 in families with income below the Orshansky poverty level computed from a 1973-1974 retabulation of 1970 Census Data by school districts. The number of economically disadvantaged children in the Community School Districts was computed by the following equation: $\frac{.7 \text{ AFDC} + .3 \text{ Free Lunch}}{\text{School Register 1974-75}}$ Quartile ranks for economically disadvantaged pupils were calculated for all enrollments greater than 50 percent: Low: The First Quartile - less than or equal to 5 percent; Medium: The Second and Third Quartiles - 6 to 16 percent; High: The Fourth Quartile - greater than or equal to 17 percent.
7. Educationally Disadvantaged Data NJ Data	NJ State Educational Assessment Program	The percent of educationally disadvantaged pupils in NJ is the percent of fourth graders in each school district scoring below minimum competency on the NJ criterion reference test in 1975. Quartile

ranks were calculated by state for all districts with minority enrollments greater than 300 or 50 percent.

NJ Quartiles for educationally disadvantaged:

Low: First Quartile - less than or equal to 5 percent;

Medium: Second and Third Quartiles - 6 to 25 percent;

High: Fourth Quartile - greater than or equal to 25 percent.

NY Pupil

NY Pupil Evaluation Program Test

The percent of educationally disadvantaged pupils in NY is the percent of third graders in each school district scoring below minimum competency on the Pupil Evaluation Program Test in 1975.

NY Quartile Ranks for educationally disadvantaged:

Low: First Quartile - less than or equal to 15 percent;

Medium: Second and Third Quartiles - 16 to 29 percent;

High: Fourth Quartile - greater than or equal to 30 percent.

8. Metropolitan Status	CEMREL Tape	School districts were assigned an urban status based upon the 1973-74 special tabulation of 1970 Census poverty measures by school districts which was compiled by the U.S. Bureau of the Census for NIE: Urban is defined to include central cities within SMSA's and urban areas not within SMSA's; Suburban is defined as other areas within SMSA's not classfied as central cities; Rural is defined as other areas not within SMSA's not classified as urban areas.

III. Computed Variables

1. Racial Isolation Index
NJ and NY 68, 72
NY 73, 75

The racial isolation index mathematically takes the form:

$$R=[1-(\Sigma n_m p_w / N_m P_w)]*100$$

where n_m, N_m, are the number of minority pupils in a school and the LEA, respectively, and p_w, P_w are the proportion of the total pupils in the school and LEA, respectively, that are white, or non-minority according to the definitions of the DHEW Office for Civil Rights. Because the index is multiplied by 100, index values range from 0 to one hundred.

Conceptually, it can be understood in the following way: In each school there are n_m minority pupils and n_w white pupils. Each minority student may theoretically interact with n_w white students. The probability of a minority student interacting with a white student within the school is equivalent therefore to the proportion of the school that is white, $p_w = n_m/n_t$, where n_t is the total number of pupils in the school. Since n_m is the number of minority children in the school, the quantity $n_m p_w$ is the probable number of minority-pupil/white-pupil interactions that may occur in the school. If this quantity is summed for all schools, the district-wide number of probable interactions between minority and white pupils, given the racial makeup of each school, is obtained.

In order to determine the extent to which the assignment of pupils to schools contributes to racial isolation, the sum can be compared to the number of minority-pupil/white-pupil interactions, $N_m P_w$, that might occur if the entire LEA was considered one school.

In a completely segregated school system, the quantities $n_m p_w$ are zero for all schools, since each school that has minority pupils (n_m is non-zero) has no white pupils (p_w equals zero), and each school with white pupils (p_w, non-zero) has no minority pupils (n_m is zero). As a result, the sum for all schools $n_m p_w$ is zero and the ratio with $N_m P_w$ is also zero. In order to associate ascending values for the index with increasing racial isolation, the ratio is subtracted from one. After the index is multiplied by one hundred, the racial isolation index for a completely dual school system would then be one hundred.

In a school district in which the proportion of white students, P_w, in each school equals the district-wide proportion, P_w, the index becomes:

$$R = [1-(P_w \Sigma n_m / N_m P_w)] * 100$$
$$= [1-(P_w N_m / N_m P_w)] * 100$$
$$= [1 - 1] * 100 = 0$$

It should be noted that the index is completely symmetrical with respect to racial/ethnic identity for a biracial situation, since the quantity $n_m p_w$ is equivalent to $n_m n_w / n_t$ and could just as easily have been written as $n_w p_m$. This leads to the interpretation of R as also the racial isolation index of the white pupils.

2. Indices of Net Reduction of Minority Isolation

Two quantities are employed in the 'stat' score to measure the reduction in the degree of minority isolation in a school district as a result of the implementation of its plan. These are: 1) the effective net reduction in the number of minority children in minority isolated schools, and 2) the effective net reduction in the percent of the district's minority children in minority isolated schools. It is important to note that in the calculation of these quantities for a school district, only the counts of children in schools affected by the district's plan are included.

These two measures are most easily understood through a description of the steps in their calculation. Both begin with a tabulation of the number of minority students in each of the district's schools affected by the plan and the minority proportion of each school's enrollment. This tabulation is performed for the base year and the project year, the end points of the period over which the reduction is to be calculated. The base year is defined as the year prior to the implementation of the plan.

The next steps calculate quantities for the base year and the project year that are measures of the number of minority pupils that are not isolated to varying degrees. (A minority pupil is isolated if he/she attends a school with an enrollment over 50 percent minority. Minority students in 55 percent minority schools are considered less isolated than those in 90 percent minority schools.) To illustrate the conceptual development of these quantities, we define several quantities:

N(over 50%, base) = number of minority students in schools affected by the plan that are over 50 percent minority in base year;

N(over 50%, project) = number of minority students in schools affected by the plan that are over 50 percent minority in project year;

and, similarly, N(less 50%, base) and N(less 50%, project) for the number of minority students in schools less than or equal to 50 percent minority in the base and project years, respectively. In addition:

N(schools, base),
N(schools, project) = total number of minority students in schools affected by plan in base and project years;

N(district, base),
N(district, project) = total number of minority students in district in base and project years.

It follows that:

N(schools, base) = N(over 50%, base) + N(less 50%, base);

N(schools, project) = N(over 50%, project) + N(over 50%, project).

One simple measure of the net reduction in the number of minority students in minority isolated schools would be:

Reduction (number) = N(over 50%, base) - N(over 50%, project);

= N(less 50%, project) - N(less 50%, base).

This assumes the total number of minority students remains the same in the base year and project year. Similarly, the net reduction in the percent of minority students in minority isolated schools would be:

$$\text{Reduction (percent)} = 100 \times \left[\frac{N(\text{over } 50\%, \text{ base})}{N(\text{district, base})} - \frac{N(\text{over } 50\%, \text{ project})}{N(\text{district, project})}\right]$$

$$= 100 \times \left[\frac{N(\text{less } 50\%, \text{ project})}{N(\text{district, project})} - \frac{N(\text{less } 50\%, \text{ base})}{N(\text{district, base})}\right]$$

These two measures, however, have two failings. First, they do not measure the reduction in the degree of isolation. According to these measures, there has been no reduction in isolation for minority students that were attending 90 percent minority schools in the base year and 55 percent minority schools in the project year. Second, they do not account for total enrollment changes in the schools and the district from the base year to the project year.

In order to take into account the reduction in the degree of minority isolation, the sharp division between the count of minority children in less than 50 percent and

over 50 percent minority schools, is softened by dividing the over 50 percent group into ten successive groups with increasing minority proportions: N(50-55%), N(55-60%), N(60-65%)... N(95-100%). Each group is then multiplied by a weighting factor which reflects the degree that minority students are not isolated as shown here:

Group	Weight	Group	Weight
N(95-100)	0.0	N(65-70)	0.6
N(90-95)	0.1	N(60-65)	0.7
N(85-90)	0.2	N(55-60)	0.8
N(80-85)	0.3	N(50-55)	0.9
N(75-80)	0.4	N(0-50)	1.0
N(70-75)	0.5		

The count of minority students in schools affected by the plan that are under 50 percent minority receives a weighting of 1.0 because the students are not considered isolated.

The number of minority students that are not isolated to varying degrees can now be defined as the sum of the number of minority students in schools affected by the plan that have different proportions of minority students multiplied by the appropriate weighting factor.

$$N(\text{not isolated}) = 1.0 \times N(0\text{-}55\%) + 0.9 \times N(55\text{-}60\%) + 0.8 \times N(60\text{-}65\%) + \ldots + 0.1 \times N(85\text{-}90\%) + 0.0 \times N(95\text{-}100\%)$$

This quantity is calculated for the base year and the project year in order to calculate the reduction in minority isolation.

$$R(\text{number}) = N(\text{not isolated, project year}) - N(\text{not isolated, base year})$$

A high value for this quantity compared to the number of minority students in these schools indicates that most minority students are not isolated. A low value indicates most minority students are highly isolated in schools over 90 percent minority.

$$R(\text{percent}) = \frac{N(\text{not isolated, project year})}{N(\text{district, project year})} - \frac{N(\text{not isolated, base year})}{N(\text{district, base year})}$$

It may be noted that the form of these quantities, specified by ESAA program guidelines, is more consistent with their description as the net increase in the number and percent of minority students that are not isolated. Algebraically, however, they do not differ from a formulation which would be consistent with their description as the

net reduction in the number and percent of minority children that are isolated to varying degrees.

The second failing of the measures as described is accounted for by adjusting the reduction in the number of minority isolated students by the changes in total enrollment. (The affects of changes in total enrollment in R(percent) are already included by the different denominators in the two terms.) Two alternative adjustments are made depending on whether the total number of minority students has increased or decreased. If minority enrollment has increased from the base year to the project year in schools affected by the plan, the number of minority students not isolated to varying degrees is reduced in the project year by the ratio of the base year to project year enrollment in the schools. The reduction measure then becomes:

$$R(\text{number}) = \left[\frac{N(\text{schools, base year})\ N(\text{not isolated, project year})}{N(\text{schools, project year})}\right] - N(\text{not isolated, base year})$$

If minority enrollment has decreased, the number of minority students not isolated to varying degrees is reduced in the base year by the ratio of the project year to base year enrollment in the schools. Thus:

$$R(\text{number}) = N(\text{not isolated, project year}) - \left[\frac{N(\text{schools, project year})\ N(\text{not isolated, base year})}{N(\text{schools, base year})}\right]$$

These alternative quantities define the effective net reduction in the number of minority isolated students in schools affected by the plan.